

HKEX Synapse

User Guide

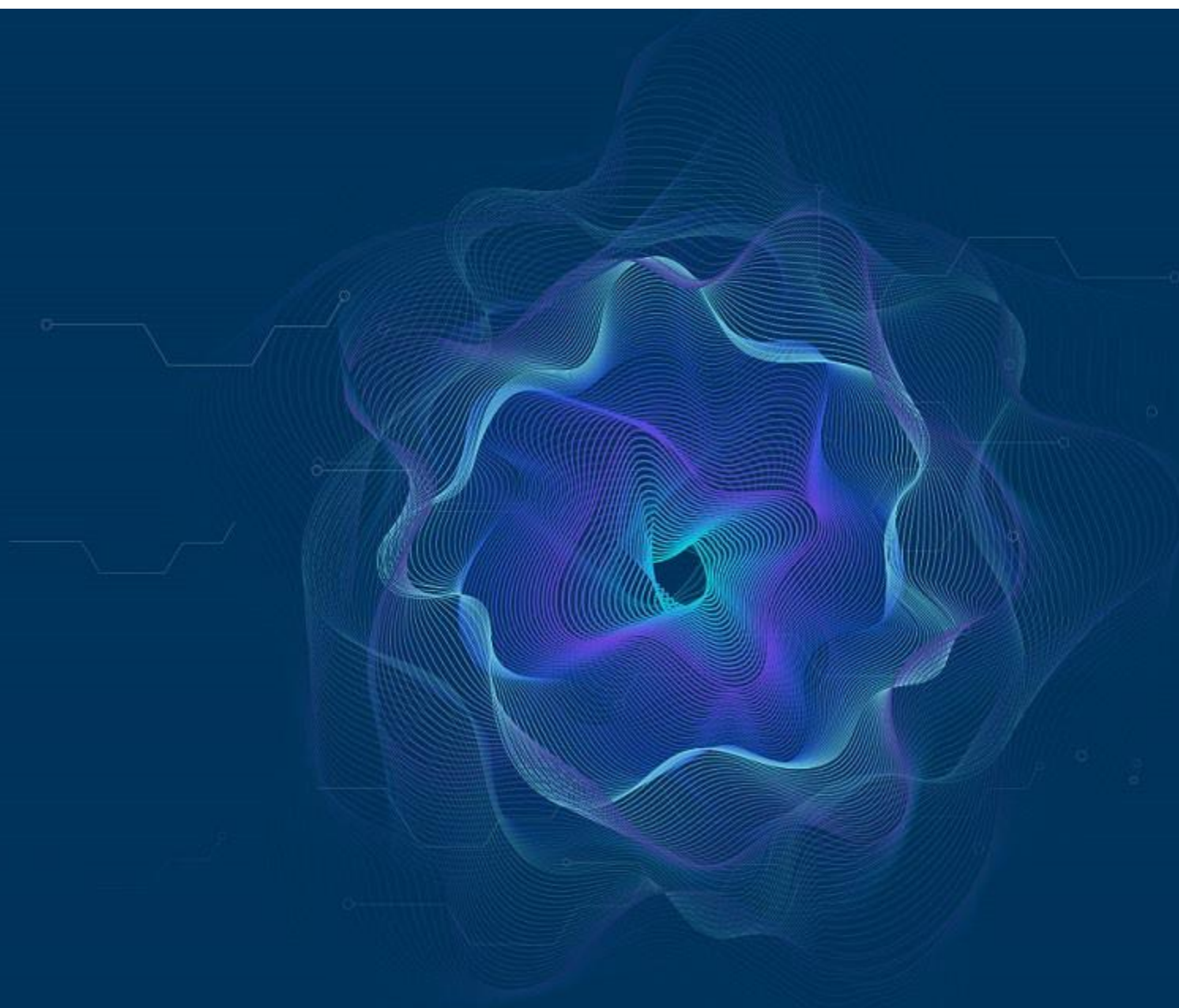


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Versions

Publication Date	Version
24 Feb 2025 [Current]	Version 1.5 published <ul style="list-style-type: none"> Add section 10.1.3 Day-begin Master SPSA Sellable Balance Report (G29) to describe the display of the sellable balance report under Reports tab
16 Sep 2024	Version 1.4 published <ul style="list-style-type: none"> Update section 4.3 Synapse Dashboard <ul style="list-style-type: none"> Remove the wording “No Further Processing” from the CCASS exceptions alert message Update section 5.1 Fund Onboarding <ul style="list-style-type: none"> Update the length size GC’s Account at LC to 15 Update section 6.1 Account Onboarding <ul style="list-style-type: none"> Update the length size EP’s Account at CP to 15 Update section 7.2.1.2 and 7.2.1.3 for the addition of new UI field “EP’s account at CP” in the KEY SETTLEMENT DETAILS tab under PARTICIPANT DETAILS Update section 7.3.1.4 and 7.3.1.5 SI/STI Approvals and Rejection for GC and LC <ul style="list-style-type: none"> Describe the extraction logic of how EP’s account at CP is retrieved from the settlement notification from DTCC via SWIFT MT541 and MT543 Provide background and a description of the new health check workflow that is triggered when the approval process starts. Specify the alert message will be promoted when any non-fatal error(s) is/are found in SI Health Check tab Direct Synapse users to reference to section 7.6 for recommendations regarding the failure reasons Update section 7.6 Health Check to add a new health check item: “EP’s account at CP” <ul style="list-style-type: none"> Describe the new business validation implemented to verify if EP’s account at CP is presented in the SN from DTCC and its resolution Add screenshots from “SI Health Check” that displays the failure reason
05 Feb 2024	Version 1.3 published <ul style="list-style-type: none"> Remove scenarios of manual amendment notification under section 4.3 Synapse Dashboard Remove the alternative approach to select individual AM when submit the SOH subscription request via system post system

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

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1. Introduction

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

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

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

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

2. System Availability

2.1 Operating Hours

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

Synapse Users may contact HKEX Synapse Operations Team via phone at +852 2840-3048 from HKT 9:00 AM – 8:00 PM or email at synapse_support@hkex.com.hk for general enquiries.

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

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

2.2 Severe Weather Arrangements

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

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

2.3 Data Retention Period in Synapse

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

3. Synapse Pre-requisite and Workflow

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

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

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

4. Getting Started

4.1 Login to Synapse

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

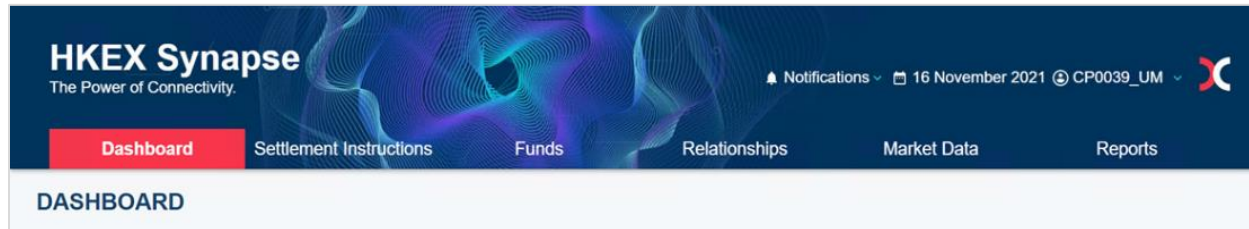
The upper right-hand side of the Dashboard screen has several functions:

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

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

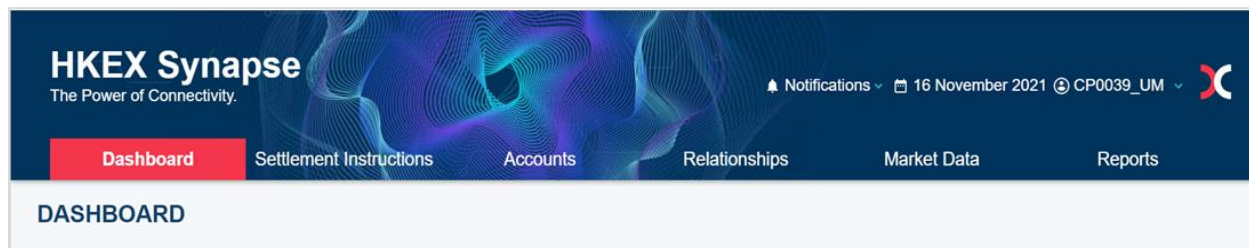
Buy-side Dashboard:

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



Sell-side Dashboard:

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



4.2 Synapse User Types and Role Types

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

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

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

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

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

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

1. Buy Side

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

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

AM:

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Organization: SynComp302

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

Dashboard

Settlement Instructions

Funds

Relationships

Market Data

DASHBOARD

SETTLEMENT INSTRUCTIONS

0

Allocation Received

0

Processing in Synapse

0

Unmatched

0

Matched

0

Settled

0

Cancelled

FUND PROFILES

+ New Fund

0

Awaiting AM Checker Approval

0

Awaiting GC Approval

0

Awaiting LC Approval

NOTIFICATIONS

Funds (0)

PREVIEW

Participants (0)

PREVIEW

Relationships (0)

PREVIEW

CCASS Exceptions (0)

PREVIEW

Sis (0)

PREVIEW

GC:

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Dashboard | Settlement Instructions | Funds | Relationships | Market Data

DASHBOARD

SETTLEMENT INSTRUCTIONS

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

FUND PROFILES

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

NOTIFICATIONS

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

ACTING AS:

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

LC:

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23 August 2022 @ synuat141 synuat141

Dashboard | Settlement Instructions | Funds | Relationships | Market Data

DASHBOARD

SETTLEMENT INSTRUCTIONS

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

FUND PROFILES

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

NOTIFICATIONS

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

ACTING AS:

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

AMOO:

The screenshot shows the HKEX Synapse Dashboard for an AMO user. The top navigation bar includes 'Settlement Instructions', 'Funds', 'Relationships', and 'Market Data'. The dashboard is divided into three main sections: Settlement Instructions, Fund Profiles, and Notifications.

Settlement Instructions:

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

Fund Profiles:

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

Notifications:

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

The user profile dropdown on the right shows the user is 'synuat391' with the role 'AM Outsourcing Operator' and 'Data Manager'.

2. Sell Side

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

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

EP:

The screenshot shows the HKEX Synapse Dashboard for an EP user. The top navigation bar includes 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. The dashboard is divided into three main sections: Settlement Instructions, Accounts, and Notifications.

Settlement Instructions:

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

Accounts:

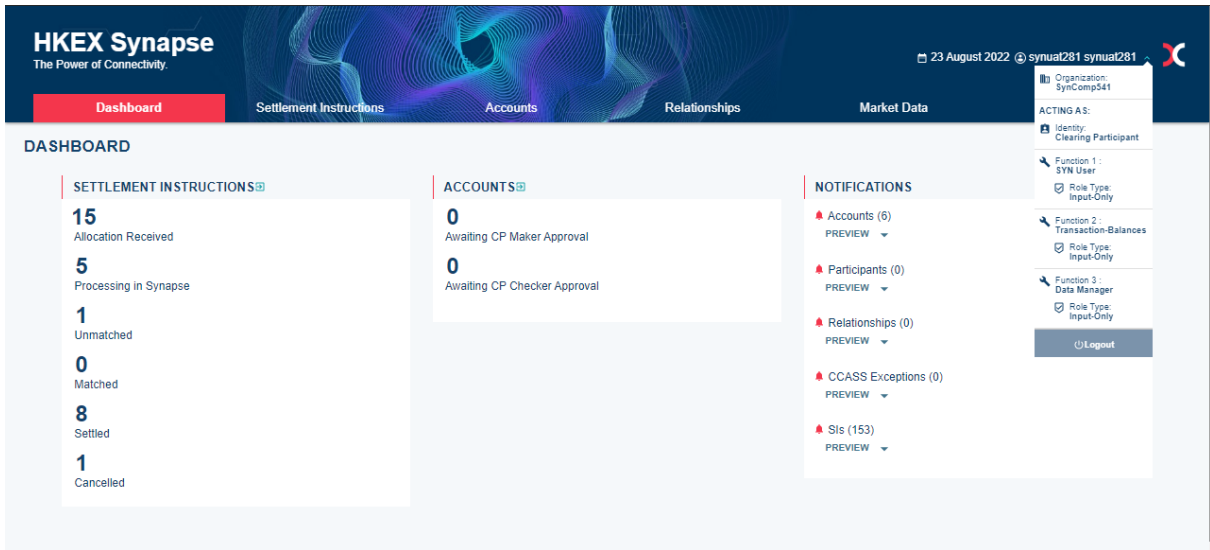
- 0 Awaiting EP Checker Approval
- 0 Awaiting CP Approval

Notifications:

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

The user profile dropdown on the right shows the user is 'synuat211' with the role 'Exchange Participant' and 'Data Manager'.

CP:



The screenshot shows the HKEX Synapse CP Dashboard. The header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '23 August 2022', the user 'synuat281 synuat281', and a red 'X' icon. The navigation bar has tabs for 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. The 'Dashboard' tab is active. The main content area is titled 'DASHBOARD' and is divided into three columns. The first column, 'SETTLEMENT INSTRUCTIONS', shows a list of counts: 15 Allocation Received, 5 Processing in Synapse, 1 Unmatched, 0 Matched, 8 Settled, and 1 Cancelled. The second column, 'ACCOUNTS', shows 0 Awaiting CP Maker Approval and 0 Awaiting CP Checker Approval. The third column, 'NOTIFICATIONS', shows a list of counts: 6 Accounts, 0 Participants, 0 Relationships, 0 CCASS Exceptions, and 153 SIs. Each notification item has a 'PREVIEW' link. On the right side, there is a user profile dropdown menu showing the organization 'SynComp541', the user 'ACTING AS: Identity: Clearing Participant', and three functions: 'Function 1: SYN User', 'Function 2: Transaction-Balances', and 'Function 3: Data Manager'. A 'Logout' button is also present.

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Dashboard Settlement Instructions Accounts Relationships Market Data

DASHBOARD

SETTLEMENT INSTRUCTIONS

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

ACCOUNTS

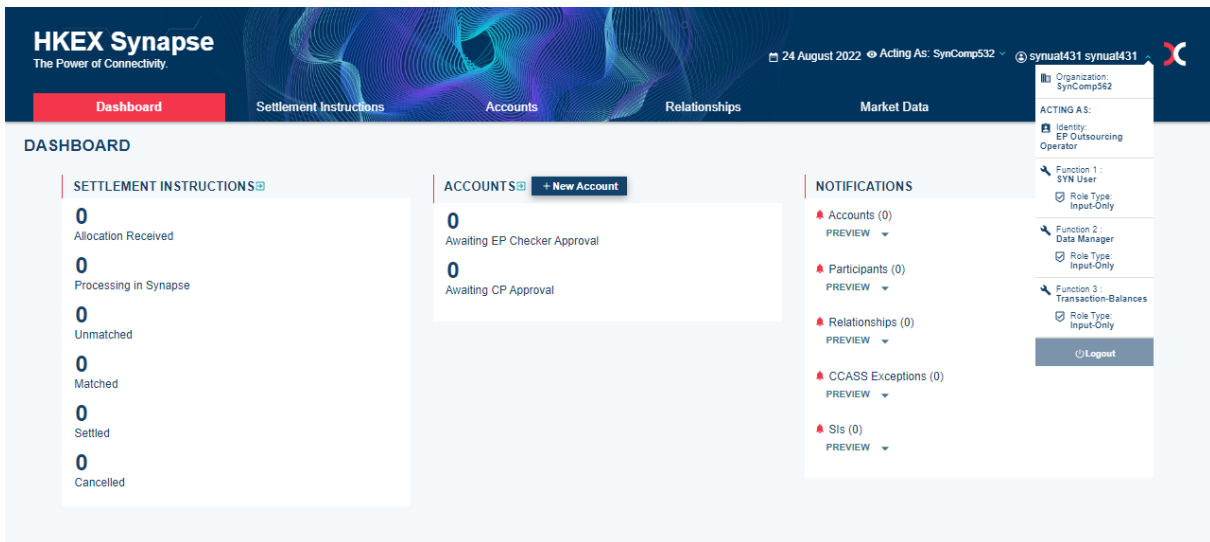
- 0 Awaiting CP Maker Approval
- 0 Awaiting CP Checker Approval

NOTIFICATIONS

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

Organization: SynComp541
ACTING AS: Identity: Clearing Participant
Function 1: SYN User
Function 2: Transaction-Balances
Function 3: Data Manager
Logout

EPOO:



The screenshot shows the HKEX Synapse EPOO Dashboard. The header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '24 August 2022', the user 'Acting As: SynComp532', and the user 'synuat431 synuat431'. The navigation bar has tabs for 'Dashboard', 'Settlement Instructions', 'Accounts', 'Relationships', and 'Market Data'. The 'Dashboard' tab is active. The main content area is titled 'DASHBOARD' and is divided into three columns. The first column, 'SETTLEMENT INSTRUCTIONS', shows a list of counts: 0 Allocation Received, 0 Processing in Synapse, 0 Unmatched, 0 Matched, 0 Settled, and 0 Cancelled. The second column, 'ACCOUNTS', shows 0 Awaiting EP Checker Approval and 0 Awaiting CP Approval. The third column, 'NOTIFICATIONS', shows a list of counts: 0 Accounts, 0 Participants, 0 Relationships, 0 CCASS Exceptions, and 0 SIs. Each notification item has a 'PREVIEW' link. On the right side, there is a user profile dropdown menu showing the organization 'SynComp532', the user 'ACTING AS: EP Outsourcing Operator', and three functions: 'Function 1: SYN User', 'Function 2: Data Manager', and 'Function 3: Transaction-Balances'. A 'Logout' button is also present.

HKEX Synapse
The Power of Connectivity.

24 August 2022 Acting As: SynComp532 synuat431 synuat431

Dashboard Settlement Instructions Accounts Relationships Market Data

DASHBOARD

SETTLEMENT INSTRUCTIONS

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

ACCOUNTS + New Account

- 0 Awaiting EP Checker Approval
- 0 Awaiting CP Approval

NOTIFICATIONS

- 0 Accounts PREVIEW
- 0 Participants PREVIEW
- 0 Relationships PREVIEW
- 0 CCASS Exceptions PREVIEW
- 0 SIs PREVIEW

Organization: SynComp532
ACTING AS: EP Outsourcing Operator
Function 1: SYN User
Function 2: Data Manager
Function 3: Transaction-Balances
Logout

AO:

HKEX Synapse

The Power of Connectivity.

24 August 2022 • Acting As: SynComp542 • synuat351 synuat351

Dashboard

Settlement Instructions

Accounts

Relationships

Market Data

DASHBOARD

SETTLEMENT INSTRUCTIONS

0

Allocation Received

0

Processing in Synapse

0

Unmatched

0

Matched

0

Settled

0

Cancelled

ACCOUNTS

0

Awaiting CP Maker Approval

0

Awaiting CP Checker Approval

NOTIFICATIONS

Accounts (0)

PREVIEW

Participants (0)

PREVIEW

Relationships (0)

PREVIEW

CCASS Exceptions (0)

PREVIEW

Sis (0)

PREVIEW

Organization: SynComp551

ACTING AS:

Identity: Account Operator

Function 1: SYN User

Role Type: Input-Only

Function 2: Data Manager

Role Type: Input-Only

Function 3: Transaction-Balances

Role Type: Input-Only

Logout

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Classification – Internal

4.3 Synapse Dashboard

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

4.3.1 Settlement Instructions

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

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

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

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

4.3.2 Fund Profiles (available to buy side users only)

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

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

4.3.3 Accounts (available to sell side users only)

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

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

4.3.4 Notifications

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

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

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

List of Notifications:

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

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

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

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

5. Funds

5.1 Fund Onboarding

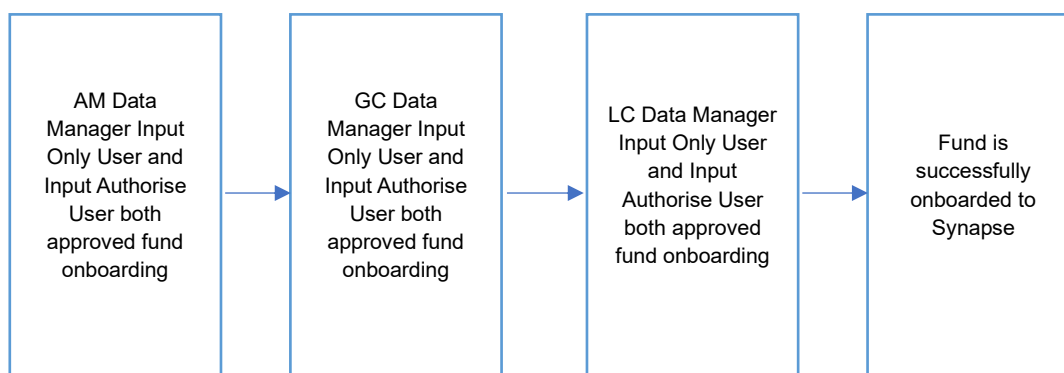
Fund Profile is required to be setup before Synapse creates the Settlement Instructions (“SIs”) or Stock Segregated Account Transfer Instruction (“STIs”) in CCASS of HKSCC. When a Fund is successfully onboarded, it will have one fund profile associated with it, and buy side users can create multiple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

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

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

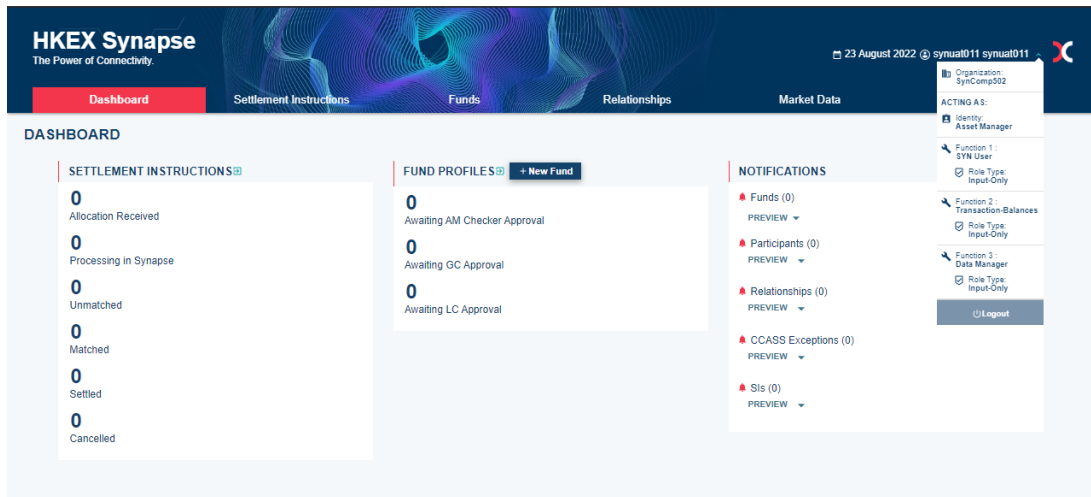
5.1.1 Asset Managers (AM)

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

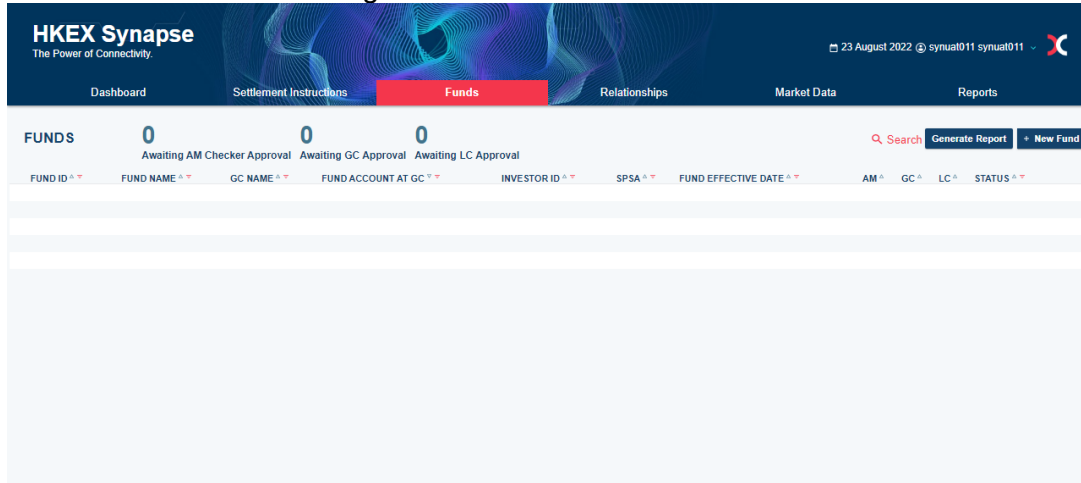


Approval by AM Data Manager Input Only User:

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



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



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

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synuat011 synuat011

New Fund

Cancel

Back

Submit

GC DN :

cn=invfunds,ou=80a,o=creschzz

LOCAL CUSTODIAN DETAILS:

* Investor ID :

300013

SPSA:

80000001

LC Name :

SynComp521

LC CCASS ID :

C00016

LC LEI :

621344ABC32JRTFGR421

LC BIC :

JMPPM155XXX

LC DN :

cn=invfunds,ou=80a,o=creschzz

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

New Fund

▲The record already exist.

Cancel

Back

Submit

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

GLOBAL CUSTODIAN DETAILS:

* GC BIC :

FIVCGB21XXX

* Fund Account at GC :

542654

GC Name :

SynComp511

GC LEI :

222200N66LBBAAGSH888

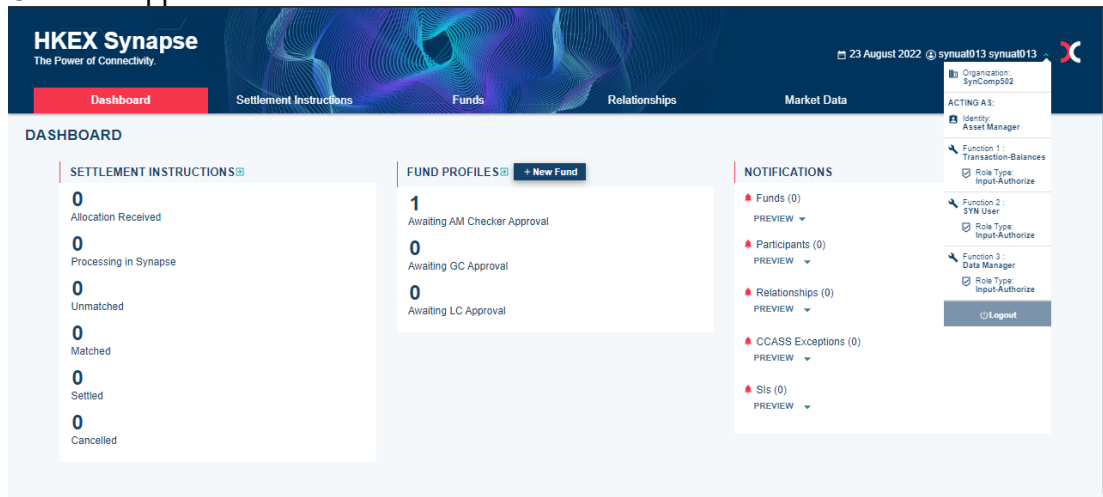
GC DN :

cn=invfunds,ou=80a,o=creschzz

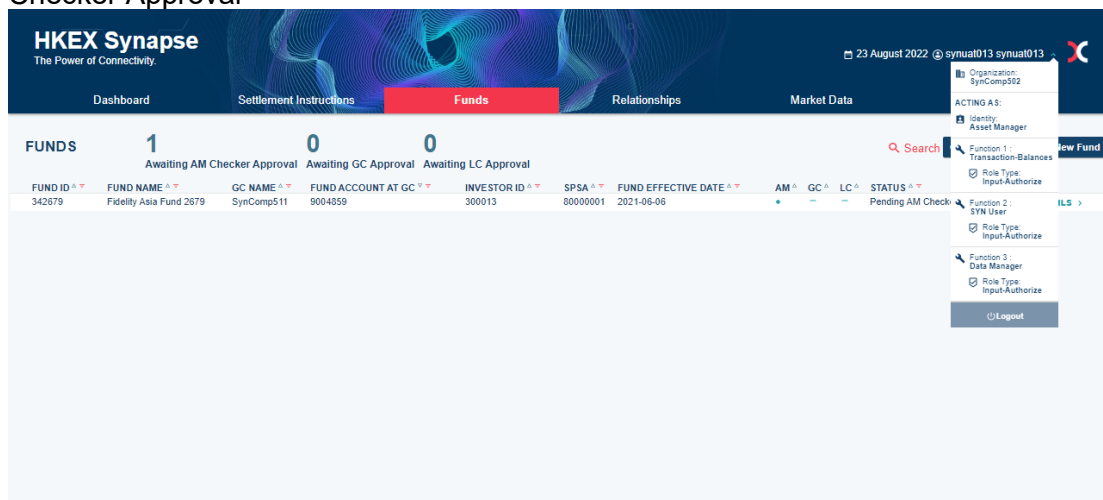
Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation	Contract Key* (Y/N)
Fund Name	The Legal Entity name of the Fund	String	70	M	N/A	Y – For Fund Data
Fund LEI	Legal Entity Identifier for the Fund	String	20	O	N/A	N
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund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

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

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



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



Approval by AM Data Manager Input Authorise User:

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

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

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23 August 2022 3 synuat013 synuat013

Initial Onboarding Details: FUND ID 342679

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

FUND DETAILS

FUND DETAILS:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

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

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMUS5XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz
SPSA:	80000001

Buttons: < Back to Fund List, X Reject, ✓ Approve, X Delete Fund Creation

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

HKEX Synapse
The Power of Connectivity.

23 August 2022 3 synuat013 synuat013

Initial Onboarding Details: FUND ID 342679

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

FUND DETAILS

FUND DETAILS:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

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

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPMUS5XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz
SPSA:	80000001

Buttons: < Back to Fund List, X Delete Fund Profile

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

Rejection by AM Data Manager Input Authorise User:

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

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

HKEX Synapse
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Initial Onboarding Details: FUND ID 553182

Onboarding Status:
AM Maker: Approved ✓

▲ AM Checker: Pending Approval ...

GC: Pending ...

LC: Pending ...

Status: Inactive

FUND DETAILS

FUND DETAILS:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

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

LOCAL CUSTODIAN DETAILS:

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

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

HKEX Synapse
The Power of Connectivity.

Initial Onboarding Details: FUND ID 553182

Onboarding Status:
AM Maker: Approved ✓

FUND DETAILS

FUND DETAILS:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND ONBOARDING REJECTION:

Please provide a comment below:

Comment

Cancel

HKEX Synapse
The Power of Connectivity.

Initial Onboarding Details: FUND ID 553182

Onboarding Status:
AM Maker: Approved ✓

FUND DETAILS

FUND DETAILS:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND ONBOARDING REJECTION:

Please provide a comment below:

Reason to reject

Cancel Submit

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

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

FUNDS 3 1 1

Awaiting AM Checker Approval Awaiting GC Approval Awaiting LC Approval

Search Generate Report New Fund

FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS	
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	—	—	Pending AM Checker Approval	DETAILS
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	•	LC Maker Approved	DETAILS
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	—	—	—	AM Checker Rejected	DETAILS
553181	Fidelity Asia Fund 3181	SynComp511	543181	300013	80000001	2021-06-05	•	—	—	Pending AM Checker Approval	DETAILS
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	•	—	—	Pending AM Checker Approval	DETAILS
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	✓	—	—	AM Approved	DETAILS
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active	DETAILS

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

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Initial Onboarding Details: FUND ID 553182 Back to Fund List

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

FUND DETAILS

FUND DETAILS:

Fund Name: Fidelity Asia Fund 3182
Fund LEI: 549300V66LYETIGSH359
Fund Umbrella: Fidelity Global Fund
Fund Domicile: HK
Fund ID: 553182
Fund Alternative ID (Optional): 777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date: 2021-06-05

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name: SynComp511
Fund Account at GC: 543182
GC LEI: 222200N66LBAAASH909
GC BIC: FIVCGB21XXX
GC DN: cn=invfunds,ou=80a,o=creschzz

LOCAL CUSTODIAN DETAILS:

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

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

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

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X

Initial Onboarding Details: FUND ID 553182CancelBackSubmit

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

GLOBAL CUSTODIAN DETAILS:

* GC BIC :FIVCGB21XXX

* Fund Account at GC :543181

GC Name :SynComp511

GC LEI :222200N66LBBAAGSH889

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

LOCAL CUSTODIAN DETAILS:

* Investor ID :

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📅 23 August 2022 🌐 synua071 synua071 🔽 ❌

Initial Onboarding Details: FUND ID 342679

< Back to Fund List ✖ Reject ✔ Submit For Approval

Onboarding Status:

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

FUND DETAILS

FUND DETAILS:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH888
GC BIC:	FIVCGB21XXX
GC DN:	cn=inifunds.o=00a.o=creschzz To approve fund onboarding, provide the GC's account at the LC.
▲ GC's Account at LC:	

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC3JRTFGR421

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Initial Onboarding Details: FUND ID 342679

< Back to Fund List ✖ Reject ✔ Submit For Approval

Onboarding Status:

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

FUND DETAILS

FUND DETAILS:

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH888
GC BIC:	FIVCGB21XXX
GC DN:	cn=inifunds.o=00a.o=creschzz To approve fund onboarding, provide the GC's account at the LC.
▲ GC's Account at LC:	752194

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC3JRTFGR421

Initial Onboarding Details: FUND ID 342679

[← Back to Fund List](#)

Onboarding Status:

AM: Approved ✓

GC Maker: Approved ✓

▲ GC Checker: Pending Approval ...

LC: Pending ...

Status: Inactive

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 2679
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	342679
Fund Alternative ID (Optional):	342688

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200H66LBBAAQSH688
GC BIC:	FIVCG821XXX
GC DN:	cn=invfunds.ou=00a.o=creschzz
GC's Account at LC:	752194

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPM55XXX
LC DN:	cn=invfunds.ou=00a.o=creschzz

Fields inputted by AM for GC's reference:

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

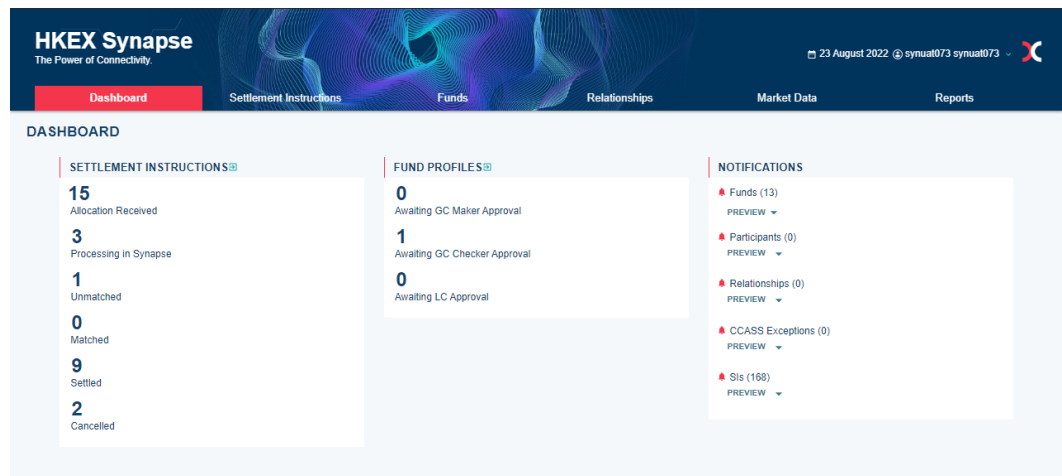
Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
Local Custodian Name	The Legal Entity name of LC	String	70	N/A	N/A
Local Custodian CCASS Participant ID	CCASS Participant ID of LC	String	6	N/A	6 characters
Local Custodian LEI	Legal Entity Identifier for LC	String	20	N/A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

Field input by GC Data Manager Input Only User

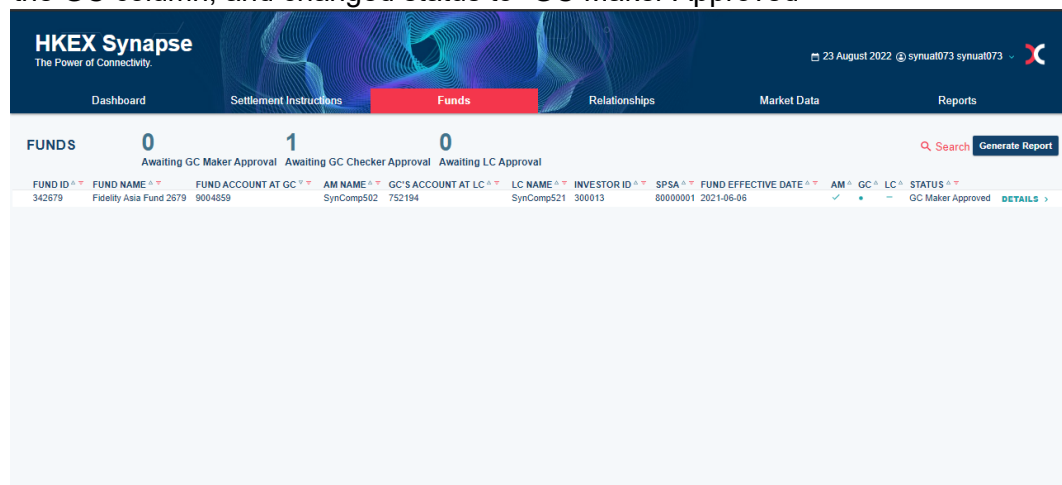
Field Name	Description	Type	Size	Mandatory or Optional (M/O)	Syntax Validation
GC's Account at LC	GC Account No. at LC for the Fund of the trade	String	15	M	N/A

Approval by GC Data Manager Input Authorise User:

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



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



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

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

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

FUND DETAILS

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH088
GC BIC:	FIVCG821XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194

LOCAL CUSTODIAN DETAILS:

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

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

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

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

FUND DETAILS

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

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

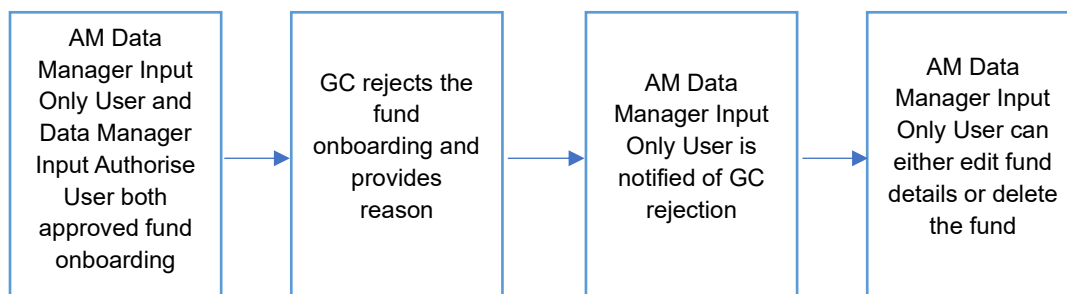
GC Name:	SynComp511
Fund Account at GC:	9004859
GC LEI:	222200N66LBBAAGSH088
GC BIC:	FIVCG821XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	752194

LOCAL CUSTODIAN DETAILS:

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

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

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



Rejection by GC Data Manager Input Only User:

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

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26 August 2022 @ synuat071 synuat071

Initial Onboarding Details: FUND ID 553182

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

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	548300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

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

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

LOCAL CUSTODIAN DETAILS:

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

Buttons: Back to Fund List, Reject, Submit For Approval

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26 August 2022 @ synuat071 synuat071

Initial Onboarding Details: FUND ID 553182

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

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3182
Fund LEI:	548300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553182
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND ONBOARDING REJECTION:

Please provide a comment below:

Change effective date

Buttons: Cancel, Submit

Buttons: Back to Fund List, Reject, Submit For Approval

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

Rejection by GC Data Manager Input Authorise User:

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

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26 August 2022

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Dashboard

Settlement Instructions

Funds

Relationships

Market Data

Reports

FUNDS

1

1

1

Awaiting GC Maker Approval

Awaiting GC Checker Approval

Awaiting LC Approval

Q Search

Generate Report

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

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

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Initial Onboarding Details: FUND ID 553182													
<div> <div>Onboarding Status:</div> <div> <div>AM: Approved ✓</div> <div>GC Maker: Rejected ✗</div> <div>GC Checker: Pending ...</div> <div>LC: Pending ...</div> <div>Status: Inactive</div> </div> <div> <div>Reject Back To Maker</div> <div>Reject Back To AM</div> </div> </div>													
FUND DETAILS													
<div> <div>FUND DETAILS:</div> <div> <div>Fund Name:</div> <div>Fidelity Asia Fund 3182</div> </div> <div> <div>Fund LEI:</div> <div>549300N68LYETIQSH359</div> </div> <div> <div>Fund Umbrella:</div> <div>Fidelity Global Fund</div> </div> <div> <div>Fund Domicile:</div> <div>HK</div> </div> <div> <div>Fund ID:</div> <div>553182</div> </div> <div> <div>Fund Alternative ID (Optional):</div> <div>777777</div> </div> </div>													
FUND PROFILE 1 DETAILS													
<div> <div>GLOBAL CUSTODIAN DETAILS:</div> <div> <div>GC Name:</div> <div>SynComp511</div> </div> <div> <div>Fund Account at GC:</div> <div>543182</div> </div> <div> <div>GC LEI:</div> <div>222200N68LBBAAAGSH889</div> </div> <div> <div>GC BIC:</div> <div>FIVCGB21XXX</div> </div> <div> <div>GC DN:</div> <div>cn=invfunds.ou=80a.o=creschzz</div> </div> <div> <div>GC's Account at LC:</div> <div></div> </div> </div>													
<div> <div>LOCAL CUSTODIAN DETAILS:</div> <div> <div>Investor ID:</div> <div>300013</div> </div> <div> <div>LC Name:</div> <div>SynComp521</div> </div> <div> <div>LC CCASS ID:</div> <div>C00016</div> </div> <div> <div>LC LEI:</div> <div>621344ABC32JRTFGR421</div> </div> <div> <div>LC BIC:</div> <div>JMPPMU55XXX</div> </div> <div> <div>LC DN:</div> <div>cn=invfunds.ou=80a.o=creschzz</div> </div> </div>													
DEFAULT SETTLEMENT MODE:													
<div> <div>Settlement Mode - Buy Trade:</div> <div>DVP</div> </div> <div> <div>Settlement Mode - Sell Trade:</div> <div>FOP</div> </div>													
FUND PROFILE PROCESSING DETAILS:													
<div> <div>Fund Effective Date:</div> <div>2021-06-05</div> </div>													

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

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26 August 2022 @ synuat073 synuat073

Initial Onboarding Details: FUND ID 553180

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

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3180
Fund LEI:	549300N68LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553180
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

Fund Effective Date:	2021-06-05
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FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543180
GC LEI:	222200N68LBBAAQSH809
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=80a.o=creschzz
GC's Account at LC:	

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPIJ55XXX
LC DN:	cn=invfunds.ou=80a.o=creschzz

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

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26 August 2022 @ synuat073 synuat073

Initial Onboarding Details: FUND ID 553180

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

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3180
Fund LEI:	549300N68LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553180
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND ONBOARDING REJECTION:

Please provide a comment below:

Change effective date

Cancel Submit

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

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

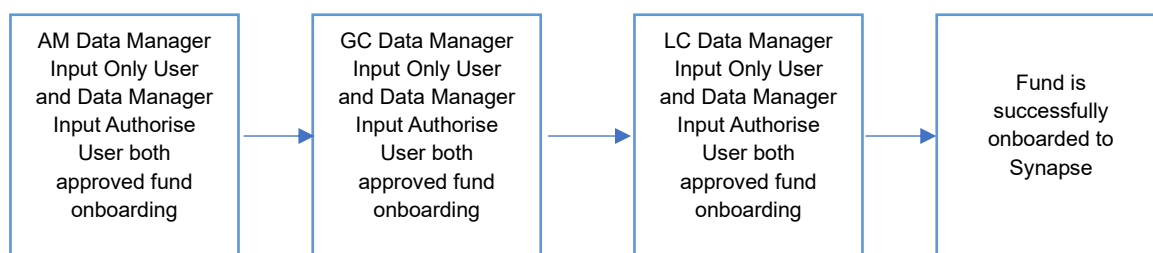
If the GC Data Manager Input Only User approves the fund and the GC Data Manager Input Authorise User disagrees with the GC Data Manager Input Only User’s approval/input, the GC Data Manager Input Authorise User must reject back to the GC Data Manager Input Only User. After that, the GC Data Manager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

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

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

5.1.3 Local Custodians (LC)

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



Approval by LC Data Manager Input Only User:

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

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

Approval by LC Data Manager Input Authorise User:

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

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

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23 August 2022 @ synua143 synua143

Initial Onboarding Details: FUND ID 342679
 Back to Fund List
Reject
Approve

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

FUND DETAILS
 FUND DETAILS:
 Fund Name: Fidelity Asia Fund 2679
 Fund LEI: 549300N66LYETIGSH359
 Fund Umbrella: Fidelity Global Fund
 Fund Domicile: HK
 Fund ID: 342679
 Fund Alternative ID (Optional): 342668
 DEFAULT SETTLEMENT MODE:
 Settlement Mode - Buy Trade: DVP
 Settlement Mode - Sell Trade: FOP
 FUND PROFILE PROCESSING DETAILS:
 Fund Effective Date: 2021-06-06

FUND PROFILE 1 DETAILS
 GLOBAL CUSTODIAN DETAILS:
 GC Name: SynComp511
 Fund Account at GC: 9004859
 GC LEI: 222200N66LBBAAGSH888
 GC BIC: FIVCGB21XXX
 GC DN: cn=invfunds.ou=80a.o=creschzz
 GC's Account at LC: 752194
 LOCAL CUSTODIAN DETAILS:
 Investor ID: 300013
 LC Name: SynComp521
 LC CCASS ID: C00016
 LC LEI: 621344ABC32JRTFGR421
 LC BIC: JPMPPHJ55XXX
 LC DN: cn=invfunds.ou=80a.o=creschzz

▲ LC Checker: Pending Approval ... Status: Inactive

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23 August 2022 @ synua143 synua143

 Initial Onboarding Details: FUND ID 342679
 Back to Fund List

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

FUND DETAILS
 FUND DETAILS:
 Fund Name: Fidelity Asia Fund 2679
 Fund LEI: 549300N66LYETIGSH359
 Fund Umbrella: Fidelity Global Fund
 Fund Domicile: HK
 Fund ID: 342679
 Fund Alternative ID (Optional): 342668
 DEFAULT SETTLEMENT MODE:
 Settlement Mode - Buy Trade: DVP
 Settlement Mode - Sell Trade: FOP
 FUND PROFILE PROCESSING DETAILS:
 Fund Effective Date: 2021-06-06

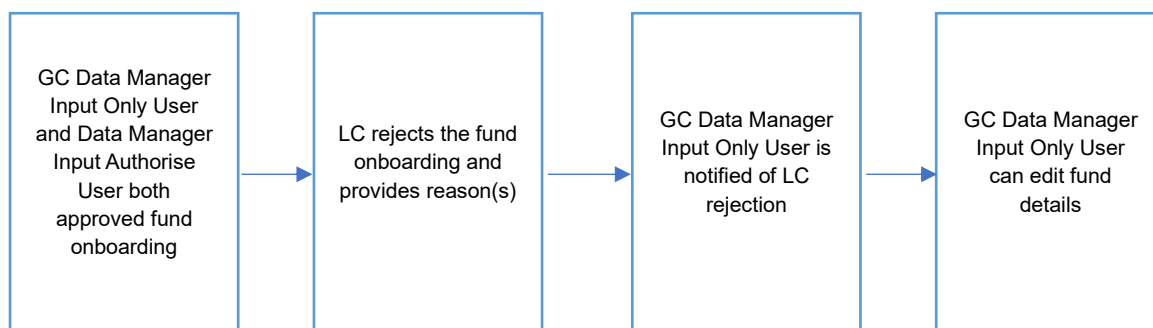
FUND PROFILE 1 DETAILS
 GLOBAL CUSTODIAN DETAILS:
 GC Name: SynComp511
 Fund Account at GC: 9004859
 GC LEI: 222200N66LBBAAGSH888
 GC BIC: FIVCGB21XXX
 GC DN: cn=invfunds.ou=80a.o=creschzz
 GC's Account at LC: 752194
 LOCAL CUSTODIAN DETAILS:
 Investor ID: 300013
 LC Name: SynComp521
 LC CCASS ID: C00016
 LC LEI: 621344ABC32JRTFGR421
 LC BIC: JPMPPHJ55XXX
 LC DN: cn=invfunds.ou=80a.o=creschzz

LC Checker: Approved ✓ Status: Inactive

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

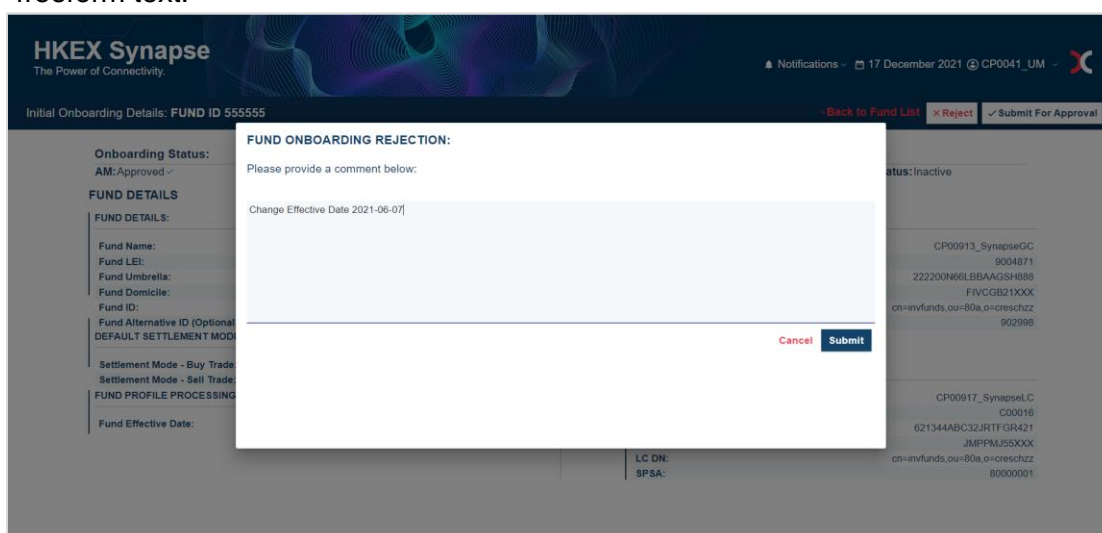
For a fund to be onboarded successfully, both the GC and LC need to approve the fund onboarding. If the LC Data Manager Input Only User rejects the fund and the LC Data

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



Rejection by LC Data Manager Input Only User:

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



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

Rejection by LC Data Manager Input Authorise User:

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

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Initial Onboarding Details: FUND ID 111111

Onboarding Status:
AM: Approved ✓ GC: Approved ✓ **▲ LC Maker: Rejected ×**

LC Checker: Pending ... Status: Inactive

FUND DETAILS

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

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

LOCAL CUSTODIAN DETAILS:

LC Name:	CP00918_SynapseLC
LC CASS ID:	C00033
LC LEI:	5493005HANGSE80XEE42
LC BIC:	HASEH0HXXX
LC DN:	cn=invfunds,ou=80a,o=creschzz
SPSA:	80000002

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

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

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Initial Onboarding Details: FUND ID 111111

Onboarding Status:
AM: Approved ✓ GC: Approved ✓ **▲ LC Maker: Rejected ×**

LC Checker: Pending ... Status: Inactive

FUND DETAILS

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

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

LOCAL CUSTODIAN DETAILS:

LC Name:	CP00918_SynapseLC
LC CASS ID:	C00033
LC LEI:	5493005HANGSE80XEE42
LC BIC:	HASEH0HXXX
LC DN:	cn=invfunds,ou=80a,o=creschzz
SPSA:	80000002

FUND ONBOARDING REJECTION:

Please provide a comment below:

Comment

Buttons: Cancel, Submit

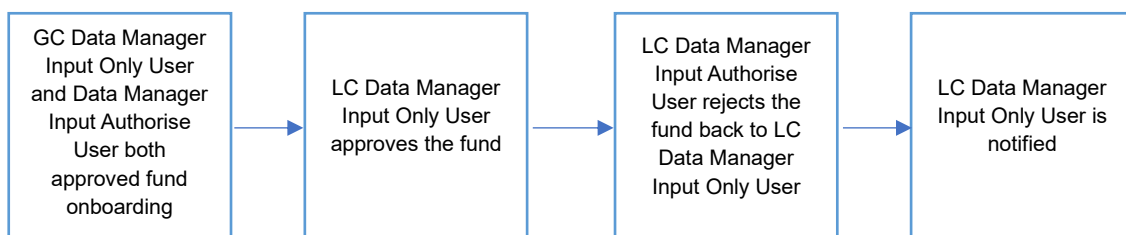
- The GC Data Manager Input Only User will be informed in one way:
 - Funds List view: increased counter under “Awaiting GC Maker Approval”, change in icon from ‘✓’ to ‘X’ in the GC column, and changed status to “LC Rejected”
 - The LC Data Manager Input Only User and LC Data Manager Input Authorise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

The screenshot shows the HKEX Synapse interface with the 'Funds' tab selected. At the top, there are three counters: 'FUNDS 1', '0', and '0', corresponding to 'Awaiting GC Maker Approval', 'Awaiting GC Checker Approval', and 'Awaiting LC Approval' respectively. Below these are search and report buttons. The main table lists fund details with columns for Fund ID, Fund Name, Fund Account at GC, AM Name, GC's Account at LC, LC Name, Investor ID, SPSA, Fund Effective Date, AM, GC, LC, and Status. The first row shows a fund named 'Fidelity Asia Fund 9004874' with a status of 'LC Rejected'. A 'DETAILS' link is provided for this entry.

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

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

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



Rejection by LC Data Manager Input Authorise User:

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

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26 August 2022 @ synua1143 synua1143

Back Fund Details: FUND ID 555555

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FIVCG821XXX
Fund Account at GC: 546270
GC Name: SynComp511
GC LEI: 222200N66LBBAAGSH888
GC DN: cn=invfunds,ou=80a,o=creschzz
GC's Account at LC: 762456

ASSET MANAGER DETAILS:

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

LOCAL CUSTODIAN DETAILS:

Investor ID: 300013
LC Name: SynComp521
LC CCASS ID: C00016
LC LEI: 621344ABC32JRTFGR421
LC BIC: JMPPMJ55XXX
LC DN: cn=invfunds,ou=80a,o=creschzz
SPSA: 800000001

REJECT APPROVE
Reject Back To Maker
Reject Back To GC

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

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26 August 2022 @ synua1143 synua1143

Back Fund Details: FUND ID 555555

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FIVCG821XXX
Fund Account at GC: 546270
GC Name: SynComp511
GC LEI: 222200N66LBBAAGSH888
GC DN: cn=invfunds,ou=80a,o=creschzz
GC's Account at LC: 762456

ASSET MANAGER DETAILS:

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

LOCAL CUSTODIAN DETAILS:

Investor ID: 300013
LC Name: SynComp521
LC CCASS ID: C00016
LC LEI: 621344ABC32JRTFGR421
LC BIC: JMPPMJ55XXX
LC DN: cn=invfunds,ou=80a,o=creschzz
SPSA: 800000001

REJECT APPROVE
Reject Back To Maker
Reject Back To GC

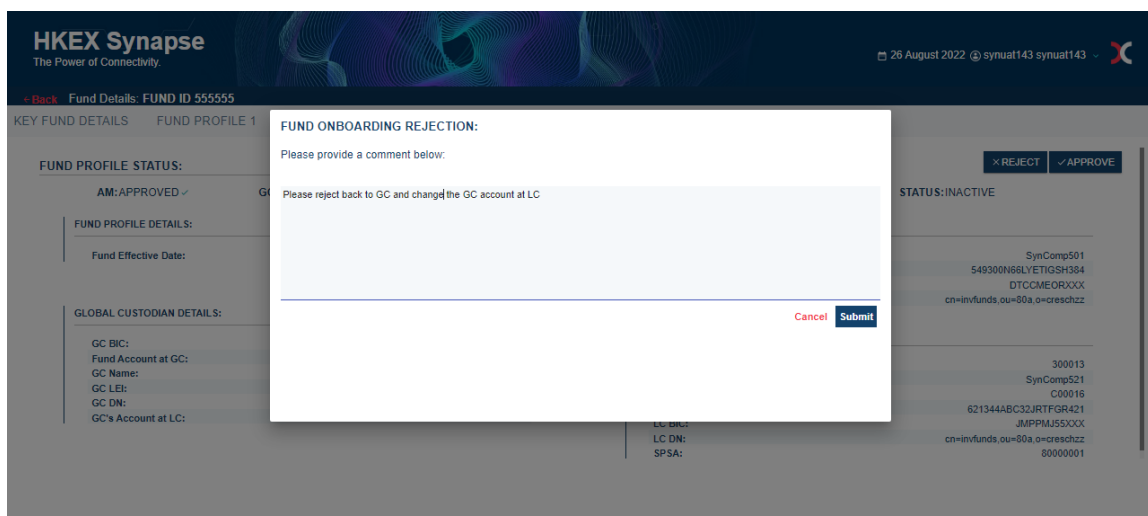
FUND ONBOARDING REJECTION:

Please provide a comment below:

Comment

Cancel

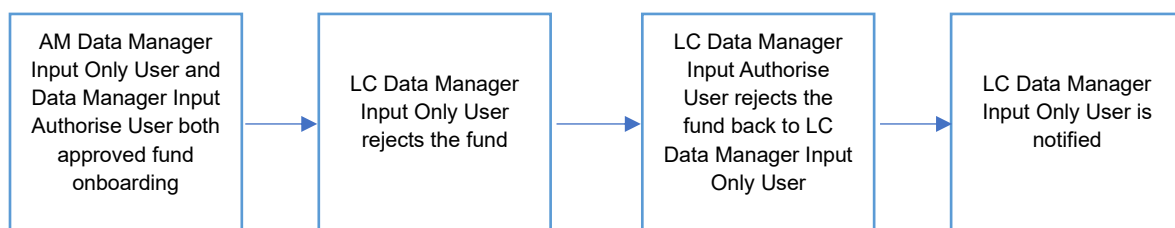
- Then the LC Data Manager Input Authorise User must provide the rejection reason(s) by clicking "Submit".



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

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

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



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

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

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26 August 2022 @ synuat143 synuat143

Back Fund Details: FUND ID 555555

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FIVGB21XXX
Fund Account at GC: 546270
GC Name: SynComp511
GC LEI: 222200N66LBBAAGSH888
GC DN: cn=invfunds,ou=80a,o=creschzz
GC's Account at LC: 782456

ASSET MANAGER DETAILS:

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

LOCAL CUSTODIAN DETAILS:

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

Buttons: [REJECT] [APPROVE]

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

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26 August 2022 @ synuat143 synuat143

Back Fund Details: FUND ID 555555

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FIVGB21XXX
Fund Account at GC: 546270
GC Name: SynComp511
GC LEI: 222200N66LBBAAGSH888
GC DN: cn=invfunds,ou=80a,o=creschzz
GC's Account at LC: 782456

ASSET MANAGER DETAILS:

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

LOCAL CUSTODIAN DETAILS:

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

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

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

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

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

5.2 Fund Profile Creation

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

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

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

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26 August 2022 symua001 symua001

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

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FIVGB21XXX
Fund Account at GC: 602194
GC Name: SynComp511
GC LEI: 222200N66LBBAGSHB68
GC DN: cn=invfunds,ou=90a,o=creschzz

ASSET MANAGER DETAILS:

AM Name: SynComp501
AM LEI: 549300N66LVBETIGSH304
AM BIC: DTOMEGORXXX
AM DN: cn=invfunds,ou=90a,o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID: 600002
LC Name: SynComp522
LC CCASS ID: C00033
LC LEI: 549300SHANGSEB8XEE42
LC BIC: HASEH0KHXXX
LC DN: cn=invfunds,ou=90a,o=creschzz

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26 August 2022 symua001 symua001

New Fund Cancel Submit

* Investor ID : 600002

SPSA: 80000002

LC Name : SynComp522

LC CCASS ID : C00033

LC LEI : 549300SHANGSEB8XEE42

LC BIC : HASEH0KHXXX

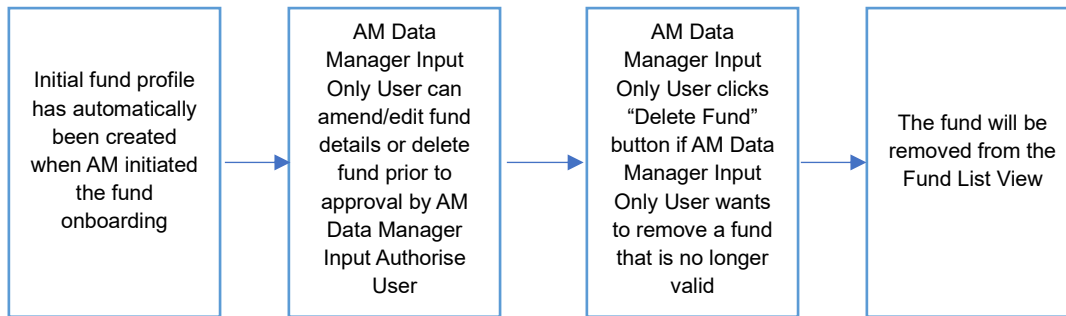
LC DN : cn=invfunds,ou=90a,o=creschzz

FUND PROFILE PROCESSING DETAILS :

* Fund Effective Date : 2022-08-12

5.3 Delete Fund Creation

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



5.3.1 Asset Managers (AM)

AM Data Manager Input Only User:

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

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26 August 2022 ④ symual001 symual001 X

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

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

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 5181
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200N66LYETIGSH359
GC BIC:	FIVCGB21XXX
GC DN:	cn=invfunds.ou=00a.o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JAPPPAU55XXX
LC DN:	cn=invfunds.ou=00a.o=creschzz
SP5A:	80000001

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

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

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

GC: Pending ... LC: Pending ... Status: Inactive

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3181
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200N66LBBAAGSH889
GC BIC:	FIVGB21XXX
GC DN:	cn=invfunds,ou=80a,o=oreschzz

LOCAL CUSTODIAN DETAILS:

Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPIAJ55XXX
LC DN:	cn=invfunds,ou=80a,o=oreschzz
SPSA:	80000001

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

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

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

GC: Pending ... LC: Pending ... Status: Inactive

FUND DETAILS

FUND DETAILS:

Fund Name:	Fidelity Asia Fund 3181
Fund LEI:	549300N66LYETIGSH359
Fund Umbrella:	Fidelity Global Fund
Fund Domicile:	HK
Fund ID:	553181
Fund Alternative ID (Optional):	777777

DEFAULT SETTLEMENT MODE:

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

FUND PROFILE PROCESSING DETAILS:

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

FUND PROFILE 1 DETAILS

GLOBAL CUSTODIAN DETAILS:

GC Name:	SynComp511
Fund Account at GC:	543181
GC LEI:	222200N66LBBAAGSH889
GC BIC:	FIVGB21XXX
GC DN:	cn=invfunds,ou=80a,o=oreschzz

LOCAL CUSTODIAN DETAILS:

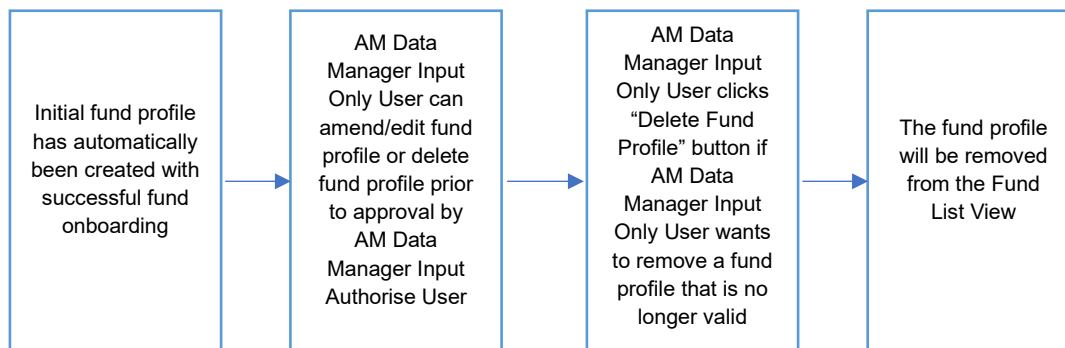
Investor ID:	300013
LC Name:	SynComp521
LC CCASS ID:	C00016
LC LEI:	621344ABC32JRTFGR421
LC BIC:	JMPPIAJ55XXX
LC DN:	cn=invfunds,ou=80a,o=oreschzz
SPSA:	80000001

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

Classification – Internal

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

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



5.4.1 Asset Managers (AM)

AM Data Manager Input Only User:

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

HKEX Synapse										
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26 August 2022 ④ symual001 symual001 X										
Dashboard Settlement Instructions Funds Relationships Market Data Reports										
FUNDS 2 1 1										
Awaiting AM Checker Approval Awaiting GC Approval Awaiting LC Approval										
Q Search Generate Report + New Fund										
FUND ID	FUND NAME	GC NAME	FUND ACCOUNT AT GC	INVESTOR ID	SPSA	FUND EFFECTIVE DATE	AM	GC	LC	STATUS
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-06-12	•	—	—	Pending AM Checker Approval
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	—	—	Pending AM Checker Approval
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	✓	Active
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	✓	✓	•	LC Maker Rejected
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	X	—	—	GC Rejected
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	X	—	—	GC Rejected
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	✓	✓	✓	Active
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	✓	—	—	AM Approved
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	✓	✓	✓	Active
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	✓	✓	✓	Active
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	✓	✓	✓	Active

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

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Back Fund Details: FUND ID 555555 + Add Fund Profile

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

FUND PROFILE STATUS: DELETE FUND PROFILE

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FVCOGB21XXX
Fund Account at GC: 546271
GC Name: SynComp511
GC LEI: 222200N66LBBAAJQSH888
GC DN: cn=invfunds,ou=80a,o=creschzz

ASSET MANAGER DETAILS:

AM Name: SynComp501
AM LEI: 549300N66LYETIGSH304
AM BIC: DTCCMEORXXX
AM DN: cn=invfunds,ou=80a,o=creschzz

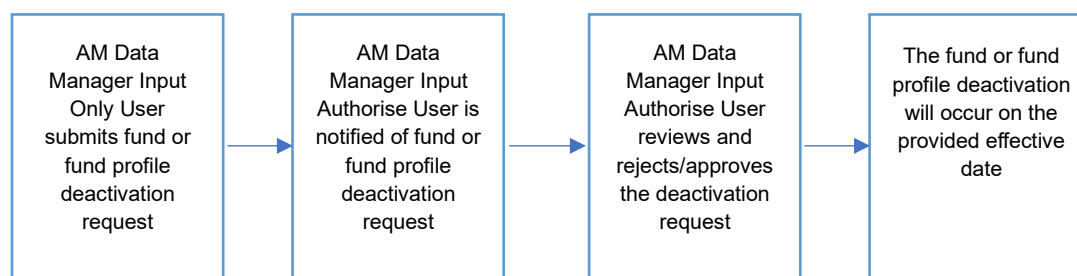
LOCAL CUSTODIAN DETAILS:

Investor ID: 300013
LC Name: SynComp521
LC CCASS ID: C00016
LC LEI: 621344ABC33JRTFGR421
LC BIC: JAPPMJ55XXX
LC DN: cn=invfunds,ou=80a,o=creschzz
SPSA: 80000001

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

5.5 Deactivation of an Active Fund or Fund Profile

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



5.5.1 Asset Managers (AM)

AM Data Manager Input Only User:

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

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

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

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

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26 August 2022 ④ synuat001 synuat001 X

Back Fund Details: FUND ID 555555 Add Fund Profile

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FVOCGB21XXX
Fund Account at GC: 546270
GC Name: SynComp511
GC LEI: 222200N66LBBAAQSH88
GC DN: cn=infunds,ou=80a,o=creschzz

ASSET MANAGER DETAILS:

AM Name: SynComp501
AM LEI: 549300N66LYETISHS304
AM BIC: DTCCMEORXXX
AM DN: cn=infunds,ou=80a,o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID: 300013
LC Name: SynComp521
LC CCASS ID: C00016
LC LEI: 621344ABC33JRTFGR421
LC BIC: JPMPPJ55XXX
LC DN: cn=infunds,ou=80a,o=creschzz

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

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

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

AM Data Manager Input Authorise User:

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

✓

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26 August 2022 symat003 symat003 X

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

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-12

GLOBAL CUSTODIAN DETAILS:

GC BIC: FVCG21XXX
Fund Account at GC: 552194
GC Name: SynComp511
GC LEI: 222200N6LBBAAAGSH888
GC DN: cn=invfunds,ou=80a,o=creschzz

ASSET MANAGER DETAILS:

AM Name: SynComp501
AM LEI: 549300N6LYETIGSH384
AM BIC: DTCCMEORXXX
AM DN: cn=invfunds,ou=80a,o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID: 600002
LC Name: SynComp522
LC CCASS ID: C00033
LC LEI: 549300SHANGSE88XEE42
LC BIC: HASEKH00XXX
LC DN: cn=invfunds,ou=80a,o=creschzz
SPSA: 80000002

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

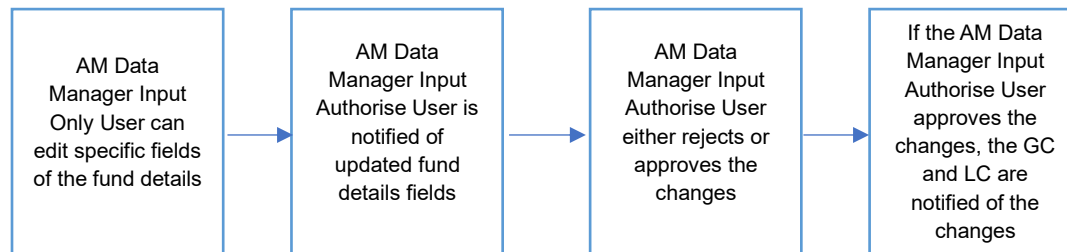
Notification for Global Custodian (GC) and Local Custodian (LC):

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

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

5.6 Edit Fund Details of an Active Fund

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



5.6.1 Asset Managers (AM)

AM Data Manager Input Only User:

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

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

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

KEY FUND DETAILS FUND PROFILE 1

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

FUND DETAILS:

Fund Name: Fidelity Asia Fund
Fund LEI: 549302H69LYETIGS3481
Fund Umbrella: Fidelity Global Fund
Fund Domicile: US
Fund ID: 523481
Fund Alternative ID (Optional): 777777

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

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

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

Please provide the following Fund information:

FUND DETAILS

* Fund Name : Fidelity Asia Fund

Fund LEI : 549302H69LYETIGS3481

Fund Umbrella : Fidelity Global Fund

Fund Domicile : US

* Fund ID : 523481

Fund Alternate ID : 777777

DEFAULT SETTLEMENT MODE :

* Settlement Mode - Buy Trade : DVP

* Settlement Mode - Sell Trade : DVP

FUND PROFILE PROCESSING DETAILS :

* Fund Effective Date : 2021-06-05

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

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

4. The AM Data Manager Input Authorise User will then be notified for their approval in one way:

- a. Funds Details view: changed status to “Pending Amendment Approval”

AM Data Manager Input Authorise User:

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

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26 August 2022 symua003 symua003 X

Back Fund Details: FUND ID AM_User_One Add Fund Profile

KEY FUND DETAILS FUND PROFILE 1

FUND STATUS:

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

REJECT APPROVE

FUND DETAILS:

Fund Name: UBS Asia Fund
Fund LEI: 549300N66LYETIGSH430
Fund Umbrella: UBS Global Fund
Fund Domicile: US
Fund ID: AM_User_One
Fund Alternative ID (Optional): AM_User_One

DEFAULT SETTLEMENT MODE:

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

FUND PROCESSING DETAILS:

5.7 Funds List View for Buy Side Participants

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

5.7.1 Asset Managers (AM)

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

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

5.7.2 Asset Manager Outsourcing Operator (AMOO)

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

5.7.3 Global Custodians (GC)

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

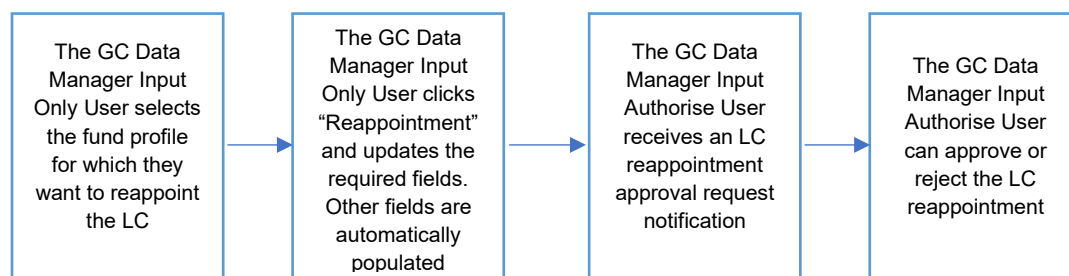
5.7.4 Local Custodians (LC)

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

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

5.8 LC Re-Appointment

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



5.8.1 Global Custodians (GC)

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

GC Data Manager Input Only User:

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

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

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

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FIVGB21XXX
Fund Account at GC: 542194
GC Name: SynComp511
GC LEI: 222200N66LBBAAQSH888
GC DN: cn=infunds, ou=80a, o=creschzz
GC's Account at LC: 762194

ASSET MANAGER DETAILS:

AM Name: SynComp501
AM LEI: 549300N66LBBAAQSH888
AM BIC: DTCMEORXXX
AM DN: cn=infunds, ou=80a, o=creschzz

LOCAL CUSTODIAN DETAILS:

Investor ID: 300013
LC Name: SynComp521
LC CCASS ID: C00016
LC LEI: 621344ABC33JRTFGR421
LC BIC: JPMPPJ55XXX
LC DN: cn=infunds, ou=80a, o=creschzz
SPSA: 80000001

Reappoint

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

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

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

GC Data Manager Input Authorise User:

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

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

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Back Fund Details: FUND ID 555555

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FIVGB21XXX
Fund Account at GC: 546272
GC Name: SynComp511
GC LEI: 222200N66LBBAGSH888
GC DN: cn=invfunds,ou=80a,o=creschzz
GC's Account at LC: 762456

ASSET MANAGER DETAILS:

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

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

Investor ID: 600002
LC Name: SynComp521
LC CCASS ID: C00016
LC LEI: 621344ABC32JRTFGR421
LC BIC: JMPPMJ55XXX
LC DN: cn=invfunds,ou=80a,o=creschzz
SPSA: 80000001

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

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

Rejection by GC Data Manager Input Authorise User:

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

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Back Fund Details: FUND ID 555555

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FIVGB21XXX
Fund Account at GC: 546272
GC Name: SynComp511
GC LEI: 222200N66LBBAGSH888
GC DN: cn=invfunds,ou=80a,o=creschzz
GC's Account at LC: 762456

ASSET MANAGER DETAILS:

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

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

Investor ID: 600002
LC Name: SynComp521
LC CCASS ID: C00016
LC LEI: 621344ABC32JRTFGR421
LC BIC: JMPPMJ55XXX
LC DN: cn=invfunds,ou=80a,o=creschzz
SPSA: 80000001

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

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Back Fund Details: **FUND ID 555555**

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

FUND PROFILE STATUS:

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

FUND PROFILE DETAILS:

Fund Effective Date: 2021-06-05

GLOBAL CUSTODIAN DETAILS:

GC BIC: FVOCGB21XXX
Fund Account at GC: 546272
GC Name: SynComp511
GC LEI: 222200N66LBBAAGSH888
GC DN: cn=invfunds,ou=80a,o=creschzz
GC's Account at LC: 762456

ASSET MANAGER DETAILS:

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

LOCAL CUSTODIAN DETAILS: [Reappoint](#)

Investor ID: 600002
LC Name: SynComp521
LC CCASS ID: C00016
LC LEI: 621344ABC32JRTFGR421
LC BIC: JPMPPM55XXX
LC DN: cn=invfunds,ou=80a,o=creschzz
SPSA: 80000001

5.8.2 Local Custodians (LC)

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

6. Accounts

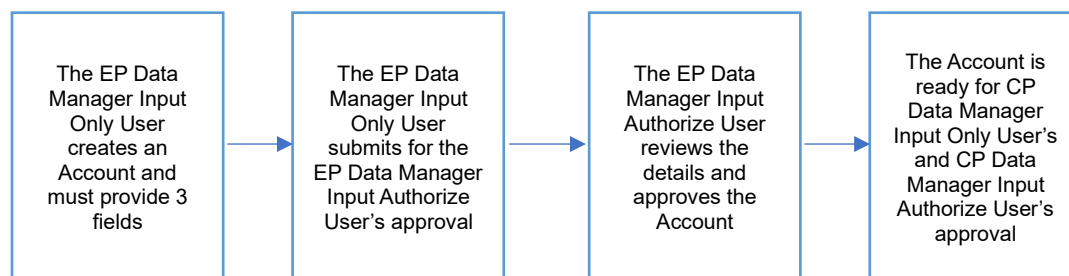
6.1 Account Onboarding

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

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

6.1.1 Exchange Participant (EP)

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



Approval by EP Data Manager Input Only User:

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

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

ACCOUNTS 0 0
Awaiting EP Checker Approval Awaiting CP Approval

Q Search Generate Report + New Account

CP NAME ^	CP LEI ^	CP BIC ^	CP DN ^	CP CCASS ID ^	EP'S ACCOUNT AT CP ^	ACCOUNT EFFECTIVE DATE ^	EP ^	CP ^	STATUS ^	
SynComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2021-06-05	✓	✓	Active	DETAILS >
SynComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900547	2021-06-05	✓	✓	Active	DETAILS >
SynComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900548	2021-06-05	✓	✓	Active	DETAILS >
SynComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900549	2021-06-05	✓	✓	Active	DETAILS >

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

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

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New Account Cancel Submit

Please provide the following information:

CP DETAILS:

* CP Name : SynComp541

CP LEI : 812700N66LADERSH679

CP BIC : DTCCDEAGXXX

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

CP CCASS ID : B01110

ACCOUNT:

* EP's Account at CP : 900428

ACCOUNT PROCESSING DETAILS :

* Account Effective Date : 2021-06-06

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

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New Account ▲ The record already exist. Cancel Submit

Please provide the following information:

CP DETAILS:

* CP Name : SynComp205

CP LEI : KBKRBSTHACAR89U81MCS

CP BIC : SYNCOMP205X

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

CP CCASS ID : B01450

ACCOUNT:

* EP's Account at CP : 903008

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

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

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

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

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

User to approve.

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LADSESH579	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSESH579	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900547	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSESH579	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900548	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSESH579	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900549	2021-06-05	✓	✓	Active
SynComp541	812700N66LADSESH579	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900428	2021-06-05	✗	✗	Pending EP Checker Approval

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

Approval by EP Data Manager Input Authorise User:

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

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

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25 August 2022 @ synuat214 synuat214 X

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

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

ACCOUNT DETAILS:

EP DETAILS:

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

CP DETAILS:

CP Name :	SynComp541
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5. The Account is now created for CP processing, and the status of EP Data Manager Input Authorise User will be shown as “Approved.”

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25 August 2022 @ synuat214 synuat214 X

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

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

ACCOUNT DETAILS:

EP DETAILS:

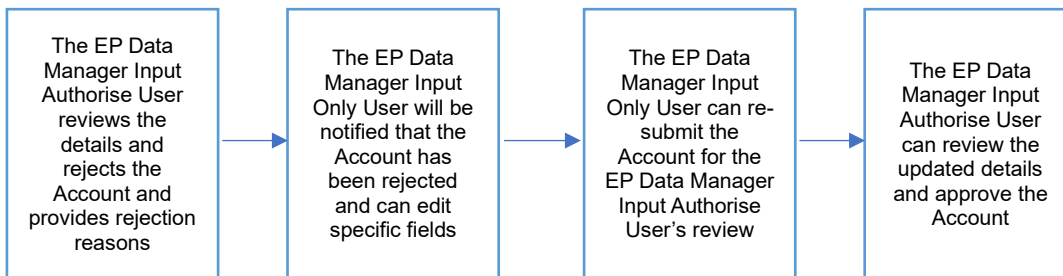
EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

CP DETAILS:

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

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



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

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

The screenshot shows the HKEX Synapse interface with a 'NEW ACCOUNT REJECTION' dialog box open. The dialog box contains a text area for 'Comment' and buttons for 'Cancel' and 'Submit'. The background shows account details for 'SynComp541' and a 'Status: Inactive' indicator.

The screenshot shows the HKEX Synapse interface with the 'NEW ACCOUNT REJECTION' dialog box open. The text area now contains the word 'reason'. The 'Submit' button is highlighted in blue, indicating it is the next step in the process. The background shows account details for 'SynComp541' and a 'Status: Inactive' indicator.

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

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25 August 2022 @ synua211 synua211 X

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

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

ACCOUNT DETAILS: [Edit](#)

EP DETAILS:

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

CP DETAILS:

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

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25 August 2022 @ synua211 synua211 X

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

CP BIC : DTCCDEAGXXX

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

CP Participant ID : B01110

ACCOUNT:

* EP's Account at CP : 900425

ACCOUNT PROCESSING:

* Account Effective Date : 2021-06-05

Account Mapping Status : EP Checker Rejected

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

“Approve”.

HKEX Synapse
The Power of Connectivity.

25 August 2022 8:21:14 synuat214 - X

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

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

ACCOUNT DETAILS:

EP DETAILS:

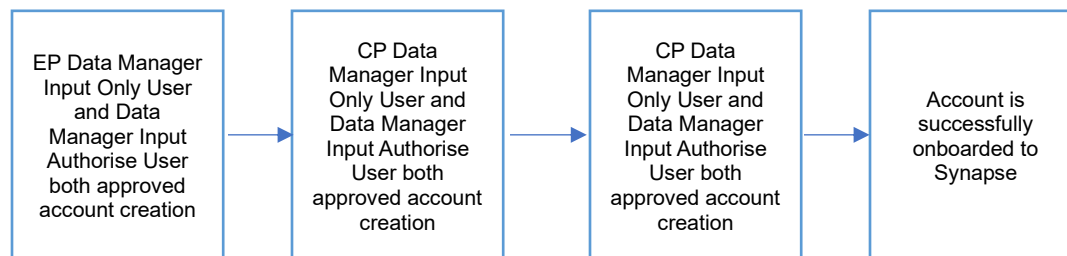
EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

CP DETAILS:

CP Name :	SynComp541
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6.1.2 Clearing Participant (CP)

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



Approval by CP Data Manager Input Only User:

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

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

HKEX Synapse
The Power of Connectivity

25 August 2022 @ synuat281 synuat281

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

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

ACCOUNT DETAILS:

EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500H68LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

CP DETAILS:

CP Name :	SynComp541
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HKEX Synapse
The Power of Connectivity

25 August 2022 @ synuat281 synuat281

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

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

CP DETAILS:

CP Name :	SynComp541
CP LEI :	812700N68LADSESH679
CP BIC :	DTCCDEAGXXX
CP DN :	cn=invfunds,ou=80a,o=creschzz
CP CCASS ID :	B01110
▲ CP's Account at CCASS :	11 -

ACCOUNT:

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

25 August 2022 @ synuat281 synuat281

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

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

CP DETAILS:

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

ACCOUNT:

EP's Account at CP :	900428
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ACCOUNT PROCESSING:

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

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

Approval by CP Data Manager Input Authorise User:

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

HKEX Synapse
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25 August 2022 | synua283 synua283

Initial Account Details: SynComp541

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

ACCOUNT DETAILS:

EP DETAILS:

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

CP DETAILS:

CP Name :	SynComp541
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HKEX Synapse
The Power of Connectivity

25 August 2022 25 August 2022 synuat283 synuat283

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

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

ACCOUNT DETAILS:

EP DETAIL S:

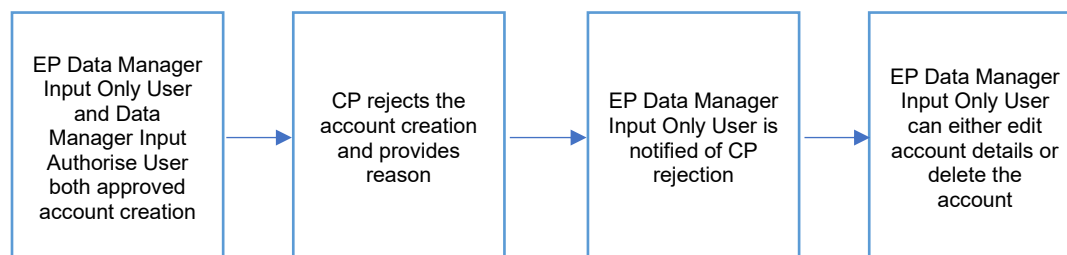
EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELXXX
EP DN :	cn=invfunds,ou=80a,o=creschzz
EP SEHK ID :	1430

CP DETAILS:

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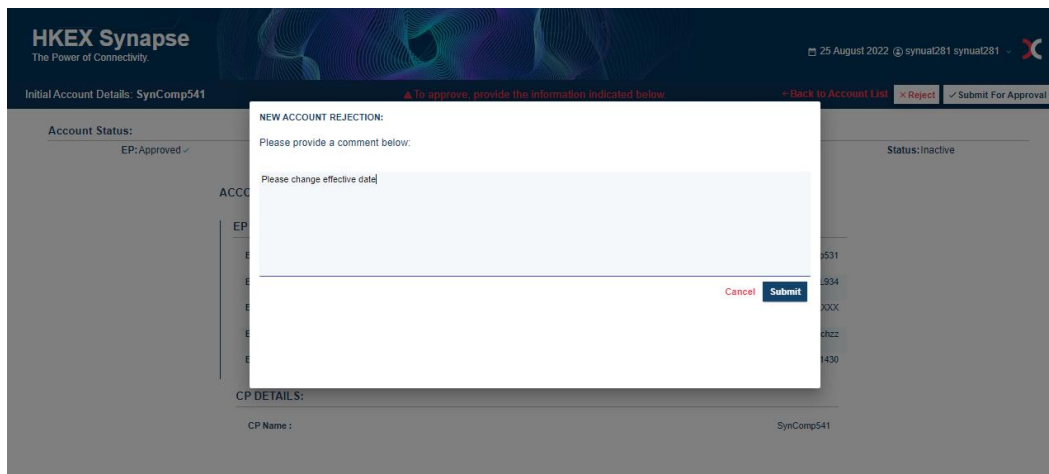
Rejection by CP Data Manager Input Only User; Rejection by CP Data Manager Input Authorise User Back to EP Data Manager Input Only User:

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



Rejection by CP Data Manager Input Only User:

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



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

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

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

button and then select “Reject Back to EP”:

HKEX Synapse
The Power of Connectivity.

25 August 2022 @ synuat283 synuat283 X

Initial Account Details: SynComp541

▲ To approve, provide the information indicated below

+ Back to Account List X Reject Approve

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

ACCOUNT DETAILS:

EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500N66JYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=imifunds,ou=80a,o=creschzz
EP SEHK ID :	1430

CP DETAILS:

CP Name :	SynComp541
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- When the CP Data Manager Input Authorise User agrees with the CP Data Manager Input Only User's rejection, they can reject back to EP Data Manager Input Only User by clicking “Reject”
- When the CP Data Manager Input Authorise User rejects the Account, a text box appears for the CP Data Manager Input Authorise User to provide reason(s) for rejection in the form of freeform text.

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25 August 2022 @ synuat283 synuat283 X

Initial Account Details: SynComp541

▲ To approve, provide the information indicated below

+ Back to Account List X Reject Approve

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

NEW ACCOUNT REJECTION:

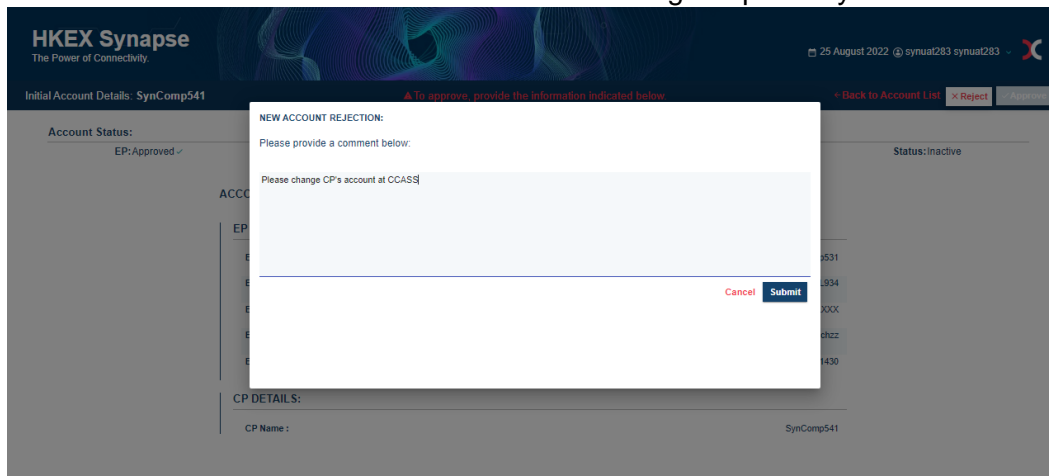
Please provide a comment below:

Comment:

Cancel Approve

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

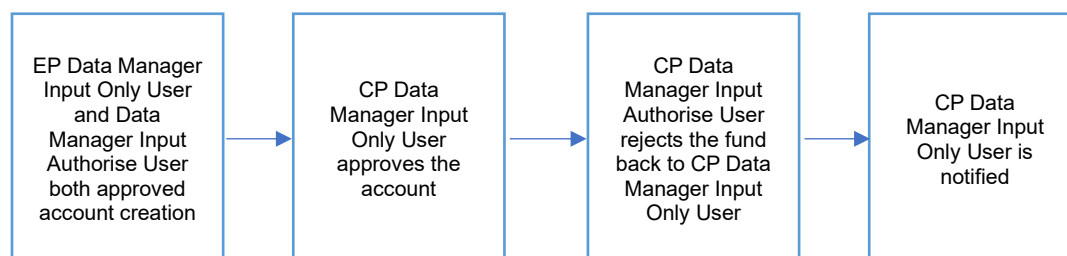
the Account submission back to the EP Data Manager Input Only User.



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

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

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



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

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



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25 August 2022 @ synuat283 synuat283

Initial Account Details: SynComp541

Back to Account List Reject Approve

Account Status:

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

Reject Back To Maker
Reject Back To EP

ACCOUNT DETAILS:

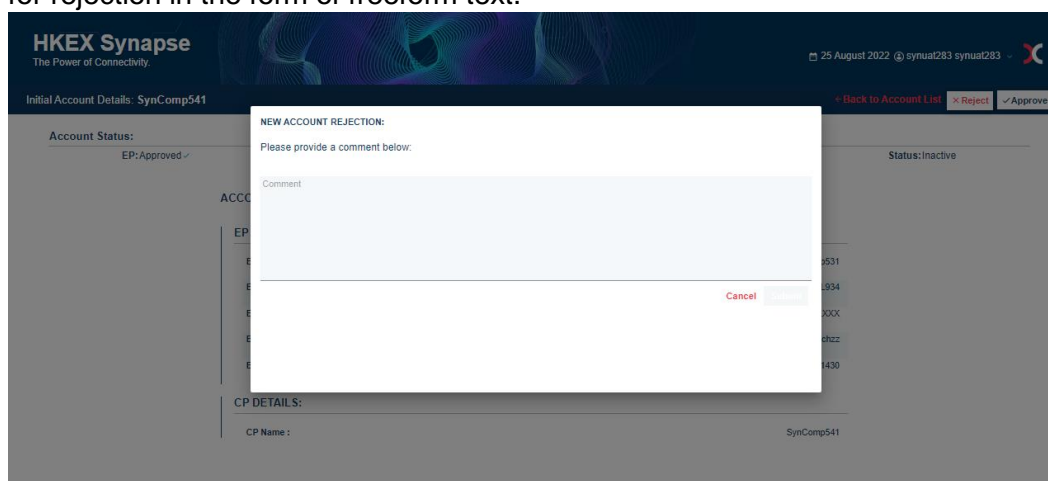
EP DETAILS:

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

CP DETAILS:

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



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25 August 2022 @ synuat283 synuat283

Initial Account Details: SynComp541

Back to Account List Reject Approve

Account Status:

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

NEW ACCOUNT REJECTION:

Please provide a comment below:

Comment:

Cancel

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

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25 August 2022 | synua283 synua283

Initial Account Details: SynComp541

Account Status: EP: Approved ✓

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

Cancel Submit

Status: Inactive

CP DETAILS:
CP Name : SynComp541

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

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The Power of Connectivity.

25 August 2022 | synua281 synua281

Initial Account Details: SynComp541

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

ACCOUNT DETAILS:

EP DETAILS:

EP Name : SynComp531

EP LEI : 151500N96LJYHJUL934

EP BIC : DTCCSELXXX

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

EP SEHK ID : 1430

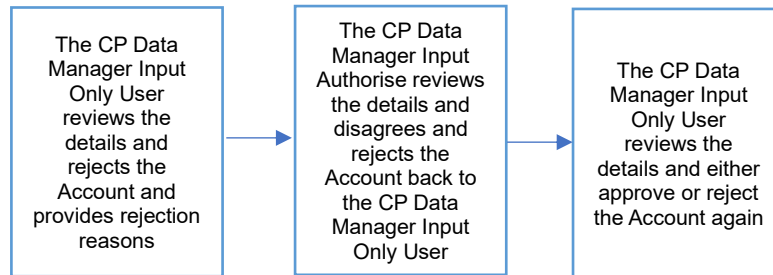
CP DETAILS:

Comment:
Change CP's account at CCASS

CLOSE

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

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



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

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

The screenshot shows the 'Initial Account Details' page for 'SynComp541'. The page header includes the HKEX Synapse logo and the tagline 'The Power of Connectivity'. The date is 26 August 2022, and the user is synuat283. The page has a navigation bar with 'Back to Account List', 'Reject', and 'Approve' buttons. The 'Account Status' section shows 'EP: Approved', 'CP Maker: Rejected', and 'CP Checker: Rejection Pending Approval'. The 'ACCOUNT DETAILS' section is divided into 'EP DETAILS' and 'CP DETAILS'. The 'EP DETAILS' section includes fields for EP Name (SynComp531), EP LEI (151500N86LJYHJUL934), EP BIC (DTCCSELXXX), EP DN (cn=invfunds,ou=80a,e=creschzz), and EP SEHK ID (1430). The 'CP DETAILS' section includes the CP Name (SynComp541). The 'Status' is 'inactive'. There are buttons for 'Reject Back To Maker' and 'Reject Back To EP'.

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

The screenshot shows the HKEX Synapse interface. At the top, the header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '26 August 2022', and user information 'synua283 synua283'. Below the header, the main content area displays 'Initial Account Details: SynComp541'. A modal dialog box titled 'NEW ACCOUNT REJECTION:' is centered on the screen. It contains the text 'Please provide a comment below:' and a large text input field. At the bottom right of the dialog, there are 'Cancel' and 'Submit' buttons. The background interface is dimmed, showing account status details and a table of accounts.

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

This screenshot is similar to the previous one, showing the 'NEW ACCOUNT REJECTION:' dialog box. In this instance, the text input field contains the text 'Change CP's account at CCASS'. The 'Submit' button is highlighted with a blue border, indicating it is the next step in the process. The background interface remains dimmed, showing the same account details and table.

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

HKEX Synapse
The Power of Connectivity

26 August 2022 symua283 symua283

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

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

ACCOUNT DETAILS:

EP DETAIL S:

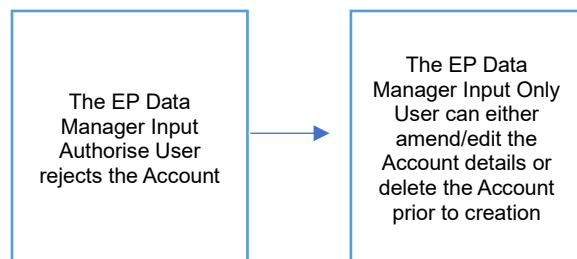
EP Name :	SynComp531
EP LEI :	151500N86LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	ci=im/funds,ou=80a,o=creschzz
EP SEHK ID :	1430

CP DETAIL S:

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

6.2 Delete Account Creation Prior to EP's Approval

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



6.2.1 Exchange Participant (EP)

EP Data Manager Input Only User:

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

HKEX Synapse
The Power of Connectivity

26 August 2022 | synua211 synua211 | X

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

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

ACCOUNT DETAILS: [Print](#)

EP DETAILS:

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

CP DETAILS:

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

HKEX Synapse
The Power of Connectivity

26 August 2022 | synua211 synua211 | X

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

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

ACCOUNT DETAILS: [Print](#)

EP DETAILS:

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

CP DETAILS:

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

HKEX Synapse
The Power of Connectivity

26 August 2022 | synua211 synua211 | X

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

ACCOUNTS **1** **0**
Awaiting EP Checker Approval Awaiting CP Approval

[Search](#) [Generate Report](#) [New Account](#)

CP NAME ^	CP LEI ^	CP BIC ^	CP DN ^	CP CCASS ID ^	EP'S ACCOUNT AT CP ^	ACCOUNT EFFECTIVE DATE ^	EP ^	CP ^	STATUS ^	
SynComp541	812700N66LADSESH679	DTCCEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2021-06-05	✓	✓	Active	DETAILS >
SynComp541	812700N66LADSESH679	DTCCEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900429	2021-06-05	✓	—	CP Checker Rejected	DETAILS >
SynComp542	948522R67AKFNEMM09	GOLDDEAXXX	cn=invfunds.ou=80a.o=creschzz	B01115	900427	2021-06-05	•	—	Pending EP Checker Approval	DETAILS >

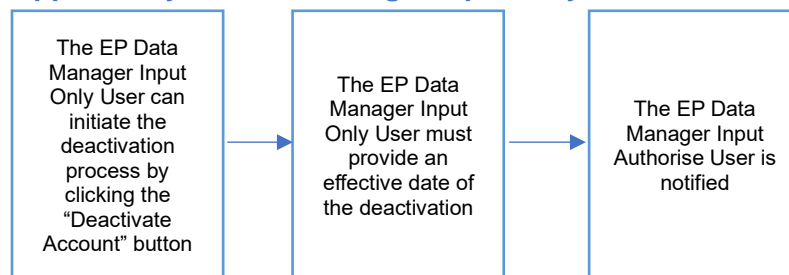
6.3 Deactivate Account After Account is Activated

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

6.3.1 Exchange Participant (EP)

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

Approval by EP Data Manager Input Only User:



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

The screenshot shows the HKEX Synapse interface. The top navigation bar includes Dashboard, Settlement Instructions, Accounts (highlighted), Relationships, Market Data, and Reports. Below the navigation bar, there are two tabs: '1 Awaiting EP Checker Approval' and '0 Awaiting CP Approval'. The 'Accounts' tab is active, displaying a table of accounts. The table has columns for CP NAME, CP LEI, CP BIC, CP DN, CP CCASS ID, EP'S ACCOUNT AT CP, ACCOUNT EFFECTIVE DATE, EP, CP, STATUS, and DETAILS. There are three rows of data, all with a status of 'Active'.

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS	DETAILS
SymComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=invfunds.ou=86a.o=creschzz	B01110	900546	2021-06-05	✓	✓	Active	DETAILS
SymComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=invfunds.ou=86a.o=creschzz	B01110	900429	2021-06-05	✓	✓	CP Checker Rejected	DETAILS
SymComp542	948522R67AKFNEMM09	GOLDDDEAGXXX	cn=invfunds.ou=86a.o=creschzz	B01115	900427	2021-06-05	•	✓	Pending EP Checker Approval	DETAILS

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

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

HKEX Synapse
The Power of Connectivity.

26 August 2022 @ synuat211 synuat211

Initial Account Details: SynComp541

[Back to Account List](#) [Deactivate Account](#)

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

ACCOUNT DETAILS:

EP DETAILS:

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

CP DETAILS:

CP Name :	SynComp541
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5. A pop-up window requesting the account deactivation effective date will appear. The effective date must be future date (i.e., at least one day after today's date).

HKEX Synapse
The Power of Connectivity.

26 August 2022 @ synuat211 synuat211

Initial Account Details: SynComp541

[Back to Account List](#) [Deactivate Account](#)

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

ACCOUNT DETAILS:

EP DETAILS:

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

CP DETAILS:

CP Name :	SynComp541
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ACCOUNT DEACTIVATION:
Please specify account deactivation effective date:

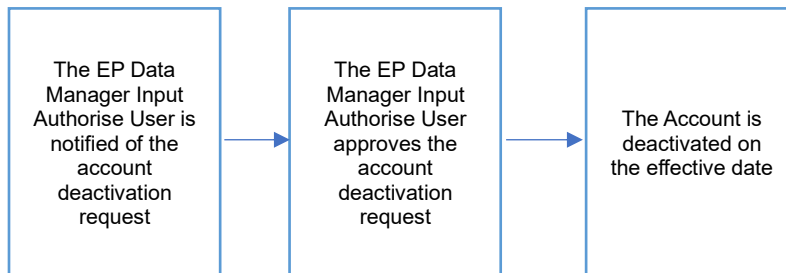
2022-08-26

[Cancel](#) [Ok](#)

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

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2022-08-27	✓	✓	Inactivation Pending Approval
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds.ou=80a.o=creschzz	B01115	900427	2021-06-05	•	—	Pending EP Checker Approval

Approval by EP Data Manager Input Authorise User:



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

CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp541	812700N66LADSESH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2022-08-27	✓	✓	Inactivation Pending Approval
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds.ou=80a.o=creschzz	B01115	900427	2021-06-05	•	—	Pending EP Checker Approval

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

HKEX Synapse
The Power of Connectivity.

26 August 2022 @ symua214 symua214 X

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

Account Status: [Delete Account Creation](#)

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

ACCOUNT DETAILS:

EP DETAILS:

EP Name :	SynComp531
EP LEI :	151500H66LJYHJUL934
EP BIC :	DTCCSELLXXX
EP DN :	cn=invfunds.ou=80a.o=creschzz
EP SEHK ID :	1430

CP DETAILS:

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

HKEX Synapse
The Power of Connectivity.

26 August 2022 @ symua214 symua214 X

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

ACCOUNTS 1 0 Search Generate Report New Account

Awaiting EP Checker Approval Awaiting CP Approval

CP NAME ▲ ▼	CP LEI ▲ ▼	CP BIC ▲ ▼	CP DN ▲ ▼	CP CCASS ID ▲ ▼	EP'S ACCOUNT AT CP ▲ ▼	ACCOUNT EFFECTIVE DATE ▲ ▼	EP ▲ ▼	CP ▲ ▼	STATUS ▲ ▼	
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds.ou=80a.o=creschzz	B01115	900427	2021-06-05	+	-	Pending EP Checker Approval	DETAILS >
SynComp541	812700N66LADRSRSH679	DTCCDEAGXXX	cn=invfunds.ou=80a.o=creschzz	B01110	900546	2022-08-27	✓	✓	Inactivation Approved	DETAILS >

Notification for Clearing Participant (CP):

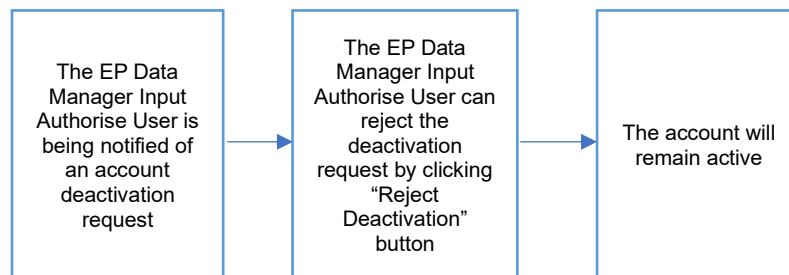
1. Both the CP Data Manager Input Only User and CP Data Manager Input Authorise User will be informed of the account deactivation and its effective date in two ways:
 - a. Account List view: changed status to “Inactivation Approved” (Note: the account will then be deactivated on the effective date, and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

HKEX Synapse										
The Power of Connectivity.										
Dashboard		Settlement Instructions		Accounts		Relationships		Market Data		Reports
ACCOUNTS		0		0						
		Awaiting CP Maker Approval		Awaiting CP Checker Approval						
EP NAME	EP LEI	EP BIC	EP DN	EP SEHK ID	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS
SynComp531	151500N68LJVHJUL934	DTCCSELLXXX	cn=infunds.ou=80a.o=creschzz	1430	900546	11	2022-08-27	✓	✓	Inactivation Approved

b. UI Notification on Dashboard page under Accounts

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

Rejection by EP Data Manager Input Authorise User:



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

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Dashboard		Settlement Instructions		Accounts		Relationships		Market Data		Reports
ACCOUNTS		1		1						
		Awaiting EP Checker Approval		Awaiting CP Approval						
CP NAME	CP LEI	CP BIC	CP DN	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP	CP	STATUS	
SynComp541	812700N68LADSESH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01110	900546	2022-06-31	✓	✓	Inactivation Pending Approval	DETAILS >
SynComp541	812700N68LADSESH679	DTCCDEAGXXX	cn=infunds.ou=80a.o=creschzz	B01110	902858	2021-06-05	✓	✓	Active	DETAILS >
CP01234_SynapseCP	LAKVM34512JHRT84596	SYNCOMP326X	cn=infunds.ou=80a.o=creschzz	B01227	9001961	2021-06-05	✓	—	Pending EP Checker Approval	DETAILS >
CP01235_SynapseCP	XBCVDU47121234EDFED8	SYNCOMP327X	cn=infunds.ou=80a.o=creschzz	B01228	9001962	2021-06-05	✓	—	EP Approved	DETAILS >
SynComp319	9R2R2G2G2G2G2G2G2G2G	SYNCOMP319X	cn=infunds.ou=80a.o=creschzz	B01213	9001963	2021-06-05	✓	✓	Active	DETAILS >
SynComp283	Q69A8027GL2NPXTRPYQE	SYNCOMP283X	cn=infunds.ou=80a.o=creschzz	B01138	9007962	2021-06-05	✓	✓	Active	DETAILS >

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

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26 August 2022 | synua214 synua214

Initial Account Details: SynComp541

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

< Back to Account List | > Reject Deactivation | ✓ Approve Deactivation

Account Status:

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

✖ Delete Account Creation

ACCOUNT DETAILS:

EP DETAILS:

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

CP DETAILS:

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

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26 August 2022 | synua214 synua214

Initial Account Details: SynComp541

< Back to Account List

Account Status:

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

ACCOUNT DETAILS:

EP DETAILS:

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

CP DETAILS:

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

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

6.4 Accounts List View for Sell Side Participants

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

6.4.1 Exchange Participant (EP)

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

6.4.2 Exchange Participant Outsourcing Operator (EPOO)

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

6.4.3 Clearing Participant (CP)

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

6.4.4 Account Operator (AO)

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

7. Instruction Processing

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

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

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

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

7.1 Settlement Instructions List View

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

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

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

Section Sub-header	Description
	cancelled for STI

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SETTLEMENT INSTRUCTIONS

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Processing Unmatched Matched Settled Cancelled

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2021-05-05

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS	DETAILS
SI	862231	CNE100003038	29.626	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	—	—	—		DETAILS
STI	862231	CNE100003038	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	—	—	—		DETAILS
STI	862231	CNE100003038	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	—	—	—		DETAILS
SI	862231	CNE100003038	29.622	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	29.621	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	29.624	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	29.623	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	29.626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	2.231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	—	—	—		DETAILS
STI	862231	CNE100003038	22.312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	—	—	—		DETAILS
SI	502775	CNE100003038	2.775	CNY	4,065,977.07	DELI	DVP	543008	DTCCSELLXXX	3008994155771021	✓	✓	✓	Settled	DETAILS

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

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

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

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Processing Unmatched Matched Settled Cancelled

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INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS	DETAILS
SI	862231	CNE100003038	29.626	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	—	—	—		DETAILS
STI	862231	CNE100003038	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	—	—	—		DETAILS
STI	862231	CNE100003038	29.627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	—	—	—		DETAILS
SI	862231	CNE100003038	29.622	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	29.621	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	29.624	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	29.623	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	29.626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	✓	✓	—	Unmatched	DETAILS
SI	862231	CNE100003038	2.231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	—	—	—		DETAILS
STI	862231	CNE100003038	22.312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	—	—	—		DETAILS
SI	502775	CNE100003038	2.775	CNY	4,065,977.07	DELI	DVP	543008	DTCCSELLXXX	3008994155771021	✓	✓	✓	Settled	DETAILS

Previous < > Next

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

7.1.1 Buy Side

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

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

7.1.1.1 Asset Managers (AM)

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	Status
SI	882291	CNE130000000	29.628	CNY	4,985,977.97	DELI	DUP	542351	2199984155779021	2199984155779021	✓	✓	✓	Settled
STI	882291	CNE130000000	29.627	CNY	4,985,977.97	DELI	DUP	542351	DTCCBELLXXX	2962094155779021	✓	✓	✓	Settled
STI	882291	CNE130000000	29.627	CNY	4,985,977.97	DELI	DUP	542351	DTCCBELLXXX	2962094155779021	✓	✓	✓	Settled
SI	882291	CNE130000000	29.622	CNY	4,985,977.97	DELI	DUP	542351	2199984155779021	2199984155779021	✓	✓	✓	Settled
SI	882291	CNE130000000	29.621	CNY	4,985,977.97	DELI	DUP	542291	2199984155779021	2199984155779021	✓	✓	✓	Settled
SI	882291	CNE130000000	29.624	CNY	4,985,977.97	DELI	DUP	542291	2199984155779021	2199984155779021	✓	✓	✓	Settled
SI	882291	CNE130000000	29.623	CNY	4,985,977.97	DELI	DUP	542291	2199984155779021	2199984155779021	✓	✓	✓	Settled
SI	882291	CNE130000000	29.626	CNY	4,985,977.97	DELI	DUP	542291	DTCCBELLXXX	2962094155779021	✓	✓	✓	Settled
SI	882291	CNE130000000	2.231	CNY	4,985,977.97	DELI	DUP	542351	DTCCBELLXXX	2231094155779021	✓	✓	✓	Settled
STI	882291	CNE130000000	22.312	CNY	4,985,977.97	DELI	DUP	542351	DTCCBELLXXX	2231094155779021	✓	✓	✓	Settled
SI	882291	CNE130000000	2.232	CNY	4,985,977.97	DELI	DUP	543005	DTCCBELLXXX	3003094155779021	✓	✓	✓	Settled

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

7.1.1.2 Asset Manager Middle Outsourcing Operator (AMOO)

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12 April 2023
Active Ac. SyncComp502
renmad301 renmad301

Operations - SyncComp501

ACTIVE A/C:

Status: All Clearing

Function 1:

Clear Manager

Fund Type:

Fund Only

Function 2:

FXN 1500

Fund Type:

Fund Only

Settlement Instructions

SETTLEMENT INSTRUCTIONS

1 0 0 0 0

Processing Unmatched Matched Settled Cancelled

INS TYPE	AM BIC	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP
SI	USDSOCCXXX	US0377	CNLS00000339	2,162	CNY	4,065,977.37	DELI	DUP	900777	SOSEPIAAXXX	0000000715019040	--	--	--

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Next

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

7.1.1.3 Global Custodians (GC)

HKEX Synapse The Power of Connectivity.		16 May 2023 synuat071 synuat071			
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
Settlement Instructions					
SETTLEMENT INSTRUCTIONS		4 0 0 0 0	Search Generate Report		
		Processing Unmatched Matched Settled Cancelled	2021-06-05		
INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE PAYMENT MODE FUND ACCOUNT AT GC EP BIC TRADE ID GC LC CP STATUS
SI	CNE100003059	92,200	CNY	4,065,977.07	DELI DVP 542548 DTCCSELLXXX 6058768034052433 -- -- -- DETAILS
SI	CNE100003059	92,200	CNY	4,065,977.07	DELI DVP 542548 DTCCSELLXXX 6058768034252433 -- -- -- DETAILS
SI	CNE100003059	92,200	CNY	4,065,977.07	RECE DVP 542695 9968768034052118 -- -- -- DETAILS
SSTI	CNE100003059	92,200	CNY	4,065,977.07	DELI DVP 542030 2030930122176672 -- -- -- DETAILS
Previous < > Next					

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

7.1.1.4 Local Custodians (LC)

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	Status
STI	CNE300000000	21,310	CNY	4,965,977.97	DEL	DVP	762231	C00014	80000001	2119994155771921	✓	✓	✓	Settled
SI	CNE300000000	2,231	CNY	4,965,977.97	DEL	DVP	762231	B01110	80000001	2119994155771921	✓	✓	✓	Settled
SI	CNE300000000	19,426	CNY	4,965,977.97	DEL	DVP	762231	B01110	80000001	2119994155771921	✓	✓	✓	Settled
STI	CNE300000000	29,407	CNY	4,965,977.97	DEL	DVP	762231	C00014	80000001	2119994155771921	✓	✓	✓	Settled
STI	CNE300000000	29,407	CNY	4,965,977.97	DEL	DVP	762231	C00014	80000001	2119994155771921	✓	✓	✓	Settled
SI	CNE300000000	29,402	CNY	4,965,977.97	DEL	DVP	762231	B01110	80000001	2119994155771921	✓	✓	✓	Settled
SI	CNE300000000	29,421	CNY	4,965,977.97	DEL	DVP	762231	B01110	80000001	2119994155771921	✓	✓	✓	Settled
SI	CNE300000000	29,424	CNY	4,965,977.97	DEL	DVP	762231	B01110	80000001	2119994155771921	✓	✓	✓	Settled
SI	CNE300000000	29,423	CNY	4,965,977.97	DEL	DVP	762231	B01110	80000001	2119994155771921	✓	✓	✓	Settled
SI	CNE300000000	29,426	CNY	4,965,977.97	DEL	DVP	762231	B01110	80000001	2119994155771921	✓	✓	✓	Settled
SI	CNE300000000	2,175	CNY	4,965,977.97	DEL	DVP	762231	B01110	80000001	2119994155771921	✓	✓	✓	Settled

Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Type	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: <ul style="list-style-type: none"> - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
GC Account at LC	GC Account at LC for the Fund of the trade
CP CCASS ID	CP's CCASS Participant ID
SPSA	Special Segregated Account
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
CP	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

7.1.2 Sell Side

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

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

7.1.2.1 Exchange Participant (EP)

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	AM BIC	TRADE ID	GC	LC	CP	STATUS
SI	CNE100000000	22,342	CNY	4,065,977.07	RECE	DVP	980540	DTCCOMOR000	000000000000000000	-	-	-	Processing
STI	CNE100000000	2,234	CNY	4,065,977.07	RECE	DVP	980540	DTCCOMOR000	000000000000000000	-	-	-	Processing
SSTI	CNE100000000	62,380	CNY	4,065,977.07	RECE	DVP	980540	DTCCOMOR000	000000000000000000	-	-	-	Processing
SI	CNE100000000	28,627	CNY	4,065,977.07	RECE	DVP	980540	DTCCOMOR000	000000000000000000	-	-	-	Processing
STI	CNE100000000	28,627	CNY	4,065,977.07	RECE	DVP	980540	DTCCOMOR000	000000000000000000	-	-	-	Processing
SI	CNE100000000	62,000	HKD	5,392.16	RECE	DVP	982100	DTCCOMOR000	000000000000000000	-	-	-	Processing
STI	CNE100000000	62,000	HKD	5,392.16	RECE	DVP	982100	DTCCOMOR000	000000000000000000	-	-	-	Processing
SI	CNE100000000	28,626	CNY	4,065,977.07	RECE	DVP	980540	DTCCOMOR000	000000000000000000	-	-	-	Processing
STI	CNE100000000	2,392	CNY	4,065,977.07	RECE	DVP	980540	DTCCOMOR000	000000000000000000	-	-	-	Processing
SI	CNE100000000	2,775	CNY	4,065,977.07	RECE	DVP	980540	DTCCOMOR000	000000000000000000	-	-	-	Processing

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

7.1.2.2 Exchange Participant Middle Outsourcing Operator (EPOO)

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

7.1.2.3 Clearing Participant (CP)

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

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

Account Operator (AO)

INS TYPE	CP BIC	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	CP's Transaction Balance
SI	SYNCP0000000000	CNE33000000000	90,000	HKD	5,892.18	RECE	DVP	902100	1	C00016	0000010201202100	---	---	---	4.0
SI	SYNCP0000000000	CNE33000000000	90,000	HKD	5,892.18	RECE	DVP	902100	5	C00016	0000010201202100	---	---	---	4.0
SI	SYNCP0000000000	CNE33000000000	90,000	HKD	5,892.18	RECE	DVP	902100	1	C00016	0000010201202100	---	---	---	4.0
SI	GOLD0000000000	CNE33000000000	2,100	CHF	4,005,977.07	RECE	DVP	999991	11	C00016	0000010201202100	---	---	---	4.0

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

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

7.2 Settlement Instruction Details View

Key Settlement Instruction Details

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

7.2.1 Buy Side

7.2.1.1 Asset Managers (AM)

HKEX Synapse The Power of Connectivity					
+ Back Settlement Instruction Details Trade ID: 6171230310110020					
KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK	
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100001059	Depository BIC	3HKCH01XXXX	Trade Date	2023-09-01
Local Code	93986	Quantity	200,000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CHF	Deal Price Currency	CHF
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date	2024-07-11	Currency To Buy	USD
		Settled Currency	CHF	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	05202406	AM BIC	SYNCOMP113X	L/C BIC	SYNCOMP113X
Name	Fund Profile 202406	AM Name	SynComp113	L/C Name	SynComp112
Fund Account at GC	54202406	Investor ID	300013	SPSA	80000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC) Name/ LEI	Buyer: 200 Buyer Lane, NY, NY 10005
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
				CP's Account at CCASS	

AMs can view the following:

Financial Instrument Details

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

Settlement Details

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

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

Trade Details

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

Fund Details

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

Participant Details

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

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

7.2.1.2 Global Custodian (GC)

HKEX Synapse The Power of Connectivity					
09 July 2024 @ synac2069 synac2069					
Back Settlement Instruction Details Trade ID: 6171230310110020					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100000059	Depository BIC	XHCHCNH1XXX	Trade Date	2023-09-01
Local Code	9096	Quantity	200.000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200.000.01	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
Fund Account at GC	54202406	Investor ID	300013	SPSA	90000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC) Name/LEI	Buyer, 200 Buyer Lane, NY, NY 55555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

Financial Instrument Details

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

Settlement Details

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

Field	Description
	- False

Trade Details

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

Fund Details

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

Participant Details

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

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

7.2.1.3 Local Custodian (LC)

HKEX Synapse The Power of Connectivity			
Back Settlement Instruction Details Trade ID: 6171230310110020			
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS	
ISIN	CNE100003059	Depository BIC	XHNCCH01XXX
Local Code	9095	Quantity	200.000
Name	GGADVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01
		Settlement Currency	CNY
		Settlement Amount	200,000.01
		Effective Settlement Date	2023-09-01
		Settled Currency	CNY
		Settled Amount	200,000.01
		Real-Time Settlement Indicator	False
FUND DETAILS		PARTICIPANT DETAILS	
ID	55202406	AM BIC	SYNCOMP173X
Name	Fund Profile 202406	AM Name	SynComp173
		Investor ID	300013
		GC BIC	SYNCOMP356X
		GC Name	SynComp356
		GC's Account at LC	76202406
		EP's Account at CP	12345678
		LC BIC	SYNCOMP112X
		LC Name	SynComp112
		SPBA	80000001
		Counterparty - EP (BIC) Name (LEI)	Buyer: 200 Buyer Lane, NY, NY 55555
		Counterparty - CP CCASS ID	C00019
		CP's Account at CCASS	

Financial Instrument Details

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

Settlement Details

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

Trade Details

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

Fund Details

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

Participant Details

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

Field	Description
	applies to SSTI only

7.2.2 Sell Side

7.2.2.1 Exchange Participant (EP)

HKEX Synapse

The Power of Connectivity.

19 August 2022

symual211 symual211

X

Back

Settlement Instruction Details

Trade ID: 0000000056341120

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

CHE100003059

Local Code

93986

Name

GIGADEVICE SEMICONDUCTOR(BEIJING) INC

Depository BIC

XHKCHKH1XXX

Quantity

92.290

Settlement Date

2021-06-04

Settlement Currency

CNY

Settlement Amount

4,065,977.07

Effective Settlement Date

Settled Currency

Settled Amount

0.00

Real-Time Settlement Indicator

False

Trade Date

2021-06-05

Type

DELI

Payment

DVP

Deal Price Currency

CNY

Deal Price

44.06

Currency To Buy

Currency To Sell

USD

FX Cancellation

ERTS

PARTICIPANT DETAILS

EP BIC

DTCCSELLXXX

EP Name

SynComp531

EP's Account at CP

900546

CP BIC

DTCCDEAGXXX

CP Name

SynComp541

Financial Instrument Details

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

Settlement Details

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

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

Trade Details

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

Participant Details

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

7.2.2.2 Clearing Participant (CP)

HKEX Synapse
The Power of Connectivity.

19 August 2022 @ symua281 symua281

Back Settlement Instruction Details Trade ID: 000000056341120
Reject Approve

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKRH1XXX	Trade Date	2021-06-05
Local Code	93966	Quantity	92,290	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount	0.00	FX Cancellation	ERTS
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS

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

Financial Instrument Details

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

Settlement Details

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

Trade Details

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

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

Participant Details

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

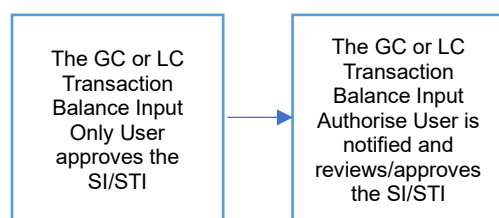
7.3 SI/STI Approvals and Rejections

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

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

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

7.3.1 Buy Side



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

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

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

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

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

Extraction Logic of EP's account at CP

Level of Clearing	Conditions	Execute the retrieval logic if the condition is true	Examples
3-Level of Clearing	DEL1/REI1, DECU/RECU and BUYR/SELL block are sent via SWIFT MT54x and DEI1/REL1 block is identified	Retrieve 97A block from BUYR/SELL	:95P::REI1//[BIC] :97A::SAFE// 12345
			:95Q::REI1//[Name and Address] :97A::SAFE// 23456
2-Level of Clearing	DECU/RECU and BUYR/SELL blocks are sent via SWIFT MT54x and DECU/RECU block is identified	Retrieve 97A block from DECU/RECU	:95P::RECU//[BIC] :97A::SAFE// 12345
			:95Q::RECU//[Name and Address] :97A::SAFE// 23456
1-Level of Clearing	BUYR/SELL block is sent via SWIFT MT54x and BUYR/SELL block is identified	Retrieve 97A block from DEI1/REL1	:95P::BUYR//[BIC] :97A::SAFE// 12345
			:95Q::BUYR//[Name and Address] :97A::SAFE// 23456

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

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

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

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

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

7.3.1.3 Asset Managers (AM)

AMs have view only rights to SI/STI processing.

HKEX Synapse

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Back

Settlement Instruction Details

Trade ID: 6172230310110020

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

ISIN

Local Code

Name

CNE100003933

30000

OSADVICE SEMICONDUCTOR(BEIJING) INC

Depository BIC

Quantity

Settlement Date

Settlement Currency

Settlement Amount

Effective Settlement Date

Settled Currency

Settled Amount

Real-Time Settlement Indicator

209000

200,000.01

2023-09-01

CNY

200,000.01

2024-01-01

CNY

200,000.01

False

TRADE DETAILS

Trade Date

Payment

Deal Price Currency

Deal Price

Currency To Buy

Currency To Sell

FX Cancellation

False

2023-09-01

DEU

CNY

41.96

USD

FUND DETAILS

ID

Name

Fund Account at GC

54202400

Fund Profile 202400

54202400

AM BIC

AM Name

Investor ID

GC BIC

GC Name

SYNCOMPT21

SynComp173

300013

SYNCOMPT21

SynComp170

LC BIC

LC Name

SPSA

Counterparty - EP (BIC Name: LEB)

Counterparty - CP CCASS ID

CP's Account at CCASS

SYNCOMPT12

SynComp172

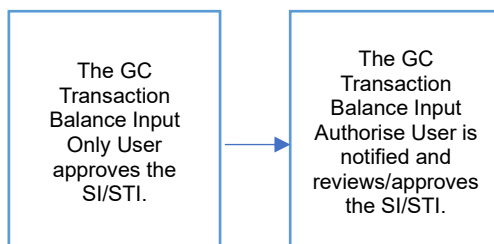
00000001

Buyer: 200 Buyer Link: NY: NY 50005

C000119

7.3.1.4 Global Custodian (GC)

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



Approval by GC Transaction Balance Input Only User:

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

ISIN TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
STI	CNE1000020.SB	22.312	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	2231044155771021	✓	✓	✓	Settled
SI	CNE1000020.SB	2.291	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	2231044155771021	✓	✓	✓	Settled
SI	CNE1000020.SB	29.625	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	218994155771021	✓	✓	✓	Settled
STI	CNE1000020.SB	29.627	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	2962094155771021	✓	✓	✓	Settled
STI	CNE1000020.SB	29.627	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	2962094155771021	✓	✓	✓	Settled
SI	CNE1000020.SB	29.622	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	218994155771021	✓	✓	✓	Settled
SI	CNE1000020.SB	29.621	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	218994155771021	✓	✓	✓	Settled
SI	CNE1000020.SB	29.624	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	218994155771021	✓	✓	✓	Settled
SI	CNE1000020.SB	29.623	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	218994155771021	✓	✓	✓	Settled
SI	CNE1000020.SB	29.626	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	2962094155771021	✓	✓	✓	Settled
SI	CNE1000020.SB	2.775	CNY	4,995,977.07	DELI	DVP	542231	DTCCSELXXX	300004155771021	✓	✓	✓	Settled

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

KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK		TRANSACTION REFERENCES AND LIFECYCLE	
FINANCIAL INSTRUMENT DETAILS				TRADE DETAILS			
ISIN	CNE1000020.SB	Quantity	286.000	Type	DELI	Trade Date	2023-09-01
Local Code	03066	Settlement Date	2023-09-01	Payment	DVP	Deal Price	44.06
Name	QIADevice Semiconductor (Beijing) Inc.	Settlement Currency	CNY	Deal Price	CNY	Currency To Buy	USD
		Settlement Amount	286.000.01	Deal Price	USD	Currency To Sell	USD
		Effective Settlement Date		Currency To Buy		FX Cancellation	
		Settled Amount		Currency To Sell			
		Real-Time Settlement Indicator	False				
FUND DETAILS				PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCCOMP173X	LC BIC	SYNCCOMP112X		
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112		
Fund Account at GC	54202406	Investor ID	300113	SPSA	00000001		
		GC BIC	SYNCCOMP173X	Counterparty - EP (BIC Name) (LEI)	Buyer: 200 Buyer Lane (N) 101 000000		
		GC Name	SynComp173	Counterparty - CP CCASS ID	000119		
		GC's Account at LC	76202406	CP's Account at CCASS			
		EP's Account at CP	12345678				

KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK		TRANSACTION REFERENCES AND LIFECYCLE	
SI STATUS							
GC MAKERS:	GC CHECKERS:	LC APPROVED:	CP APPROVED:	CCASS STATUS:	CANCELLATION STATUS:		
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:		
NA	NA	NA	NA	NA	NA		

KEY SETTLEMENT DETAILS		SETTLEMENT STATUS		SI HEALTH CHECK		TRANSACTION REFERENCES AND LIFECYCLE	
SI STATUS							
GC MAKERS:	GC CHECKERS:	LC APPROVED:	CP APPROVED:	CCASS STATUS:	CANCELLATION STATUS:		
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:		
NA	NA	NA	NA	NA	NA		

Approval by GC Transaction Balance Input Authorise User:

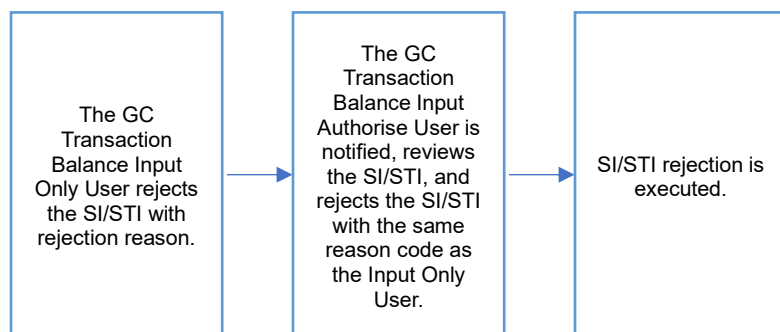
- | HXEK Synapse | | | | | | | | | | | | | 11 April 2023 @ ysmat073 synmat073 |
|---|---------------|-------------------------|-----------------------|---------------------|--------|----------------|----------------------|--------------|-------------------|---------|------|------|--|
| The Power of Connectivity. | | | | | | | | | | | | | X |
| Dashboard | | Settlement Instructions | | Funds | | Relationships | | Market Data | | Reports | | | |
| Settlement Instructions | | | | | | | | | | | | | |
| <div>SETTLEMENT INSTRUCTIONS</div> <div> <div>5</div> <div>5</div> <div>0</div> <div>1</div> <div>0</div> </div> <div>Processing Unmatched Matched Settled Cancelled</div> <div> <input type="text"/> Search Generate Report </div> <div>2021-06-05</div> | | | | | | | | | | | | | |
| BUS TYPE * | ISIN * | QUANTITY * | SETTLEMENT CURRENCY * | SETTLEMENT AMOUNT * | TYPE * | PAYMENT MODE * | FUND ACCOUNT AT GC * | EP INC * | TRADE ID * | GC * | LC * | CP * | STATUS * |
| STI | CNEL000000000 | 22,312 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2211894155771021 | - | - | - | DETAILS > |
| S1 | CNEL000000000 | 2,231 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2211894155771021 | * | - | - | DETAILS > |
| S1 | CNEL000000000 | 28,453 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2189394155771021 | - | - | - | DETAILS > |
| STI | CNEL000000000 | 29,627 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2962094155771021 | - | - | - | DETAILS > |
| STI | CNEL000000000 | 29,627 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2962094155771021 | - | - | - | DETAILS > |
| S1 | CNEL000000000 | 76,822 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2189394155771021 | ✓ | ✓ | - | Unmatched DETAILS > |
| S1 | CNEL000000000 | 28,451 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2189394155771021 | ✓ | ✓ | - | Unmatched DETAILS > |
| S1 | CNEL000000000 | 28,454 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2189394155771021 | ✓ | ✓ | - | Unmatched DETAILS > |
| S1 | CNEL000000000 | 29,623 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2189394155771021 | ✓ | ✓ | - | Unmatched DETAILS > |
| S1 | CNEL000000000 | 29,626 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 2962094155771021 | ✓ | ✓ | - | Unmatched DETAILS > |
| S1 | CNEL000000000 | 2,719 | CNY | 4,005,877.87 | DELU | DVP | 542231 | ETCCSELLXXXX | 30099494155771021 | ✓ | ✓ | ✓ | Settled DETAILS > |

<div> <div>HKEX Synapse</div> <div>The Power of Connectivity</div> </div> <div> <div> </div> <div> </div> </div> <div> </div> <div> </div>									
<div> <div> Home Settlement Instruction Details Trade ID: 6171230210110620 </div> <div> Key Settlement Details Settlement Status SI Health Check Transaction References and Lifecycle </div> <div> Import Approval </div> </div>									
Financial Instrument Details			Settlement Details			Trade Details			
ISIN	CNE100010009	Depository BIC	3NKKCHH103XX	Trade Date	2023-09-01				
Local Code	93006	Quantity	200.000	Type	Payment				
Name	IGASDEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	Deal Price	Currency	Deal Price	Currency	Deal Price
		Settlement Currency	CNY	Deal Price	Currency	Deal Price	Currency	Deal Price	Currency
		Settlement Amount	200.000.01	Deal Price	Currency To Buy	Currency To Sell	1/8 Cancellation		
		Effective Settlement Date		Currency To Buy	Currency To Sell	1/8 Cancellation			
		Settled Currency		Currency To Sell	1/8 Cancellation				
		Settled Amount		1/8 Cancellation					
		Real-Time Settlement Indicator	False						
Fund Details			Participant Details						
ID	52024066	AM BIC	6YNKCOMP173X	LC BIC	6YNKCOMP173X	LC BIC	6YNKCOMP173X	LC BIC	6YNKCOMP173X
Name	Fund Profile 2024066	AM Name	SynComp1773	LC Name	SynComp1773	LC Name	SynComp1773	LC Name	SynComp1773
Fund Account at GC	54024066	Investor ID	300013	SPIA	300013	SPIA	300013	SPIA	300013
		GC BIC	6YNKCOMP158X	Counterparty - GC (BIC Name/LD)	Counterparty - GC (BIC Name/LD)	Counterparty - GC (BIC Name/LD)	Counterparty - GC (BIC Name/LD)	Counterparty - GC (BIC Name/LD)	Counterparty - GC (BIC Name/LD)
		GC Name	SynComp356	Counterparty - CP CCA55 ID	Counterparty - CP CCA55 ID	Counterparty - CP CCA55 ID	Counterparty - CP CCA55 ID	Counterparty - CP CCA55 ID	Counterparty - CP CCA55 ID
		GC's Account at LC	76024066	CP's Account at CCA55	76024066	CP's Account at CCA55	76024066	CP's Account at CCA55	76024066
		CP's Account at CP	12345678						

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

Classification – Internal

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



Rejection by GC Transaction Balance Input Only User:

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

HKEX Synapse
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09 July 2024 | 09:09:09 | synact099 | synact099

Home | Rejection

Settlement Instruction Details Trade ID: 617423031019020

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100030309	Depository BIC	309CH01XXXX	Trade Date	2023-09-01
Local Code	93680	Quantity	200.000	Type	DELI
Name	QIQUIDEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	CUP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200.000.01	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	False
		Real-Time Settlement Indicator			

FUND DETAILS

FUND DETAILS		PARTICIPANT DETAILS	
ID	56202400	AM BIC	51NCCOMP173X
Name	Fund Profit 202400	AM Name	SynComp173
Fund Account at GC	54202400	Investor ID	309013
		GC BIC	51NCCOMP356X
		GC Name	SynComp356
		GC's Account at LC	70202400
		EP's Account at CP	12345678

09 April 2023 | 09:00:07 | synact077 | synact077

Home | Rejection

Settlement Instruction Details Trade ID: 711998455771921

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

FINANCIAL INSTRUMENT DETAILS

ISIN

Local Code

Name

FUND DETAILS

ID

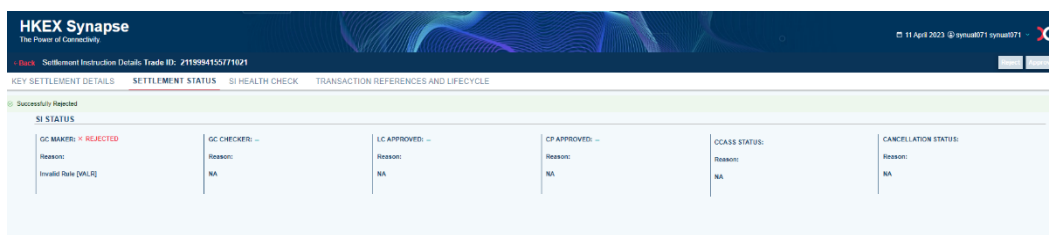
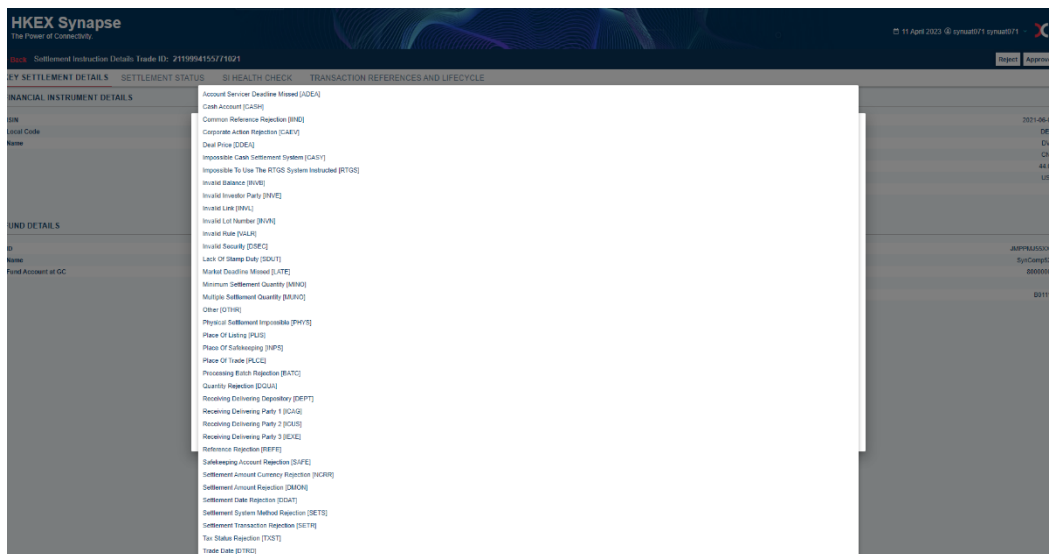
Name

Fund Account at GC

REJECTION CODE:

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

Cancel



Rejection by GC Transaction Balance Input Authorise User:

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

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP RIC	TBAG	GC	LC	CP	STATUS	DETAILS
STI	CNE180000039	22,312	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	223189455771021	—	—	—	Unmatched	DETAILS
SI	CNE180000039	29,825	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	2189394195771021	O	—	—	Unmatched	DETAILS
STI	CNE180000039	29,827	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	296209485771021	—	—	—	Unmatched	DETAILS
SI	CNE180000039	29,827	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	296209485771021	—	—	—	Unmatched	DETAILS
SI	CNE180000039	29,827	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	2189394195771021	✓	✓	—	Unmatched	DETAILS
SI	CNE180000039	29,821	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	2189394195771021	✓	✓	—	Unmatched	DETAILS
SI	CNE180000039	29,824	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	2189394195771021	✓	✓	—	Unmatched	DETAILS
SI	CNE180000039	29,825	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	2189394195771021	✓	✓	—	Unmatched	DETAILS
SI	CNE180000039	29,826	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	296209485771021	✓	✓	—	Unmatched	DETAILS
SI	CNE180000039	2,776	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	108949455771021	✓	✓	✓	Settled	DETAILS
SI	CNE180000039	2,231	CNY	4,905,977.07	DELI	DVP	542231	OTCSEELLXXX	223189455771021	✓	—	—	Settled	DETAILS

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

HKEX Synapse					
The Power of Connectivity					
Back Settlement Instruction Details Trade ID: 611230310119029					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	J0H6CHH1XXX	Trade Date	2023-08-01
Local Code	93680	Quantity	200,000	Type	DELI
Name	GIGAEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-08-01	Payment	CNY
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.98
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	5202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
Fund Account at GC	54202406	Investor ID	300013	SPSA	00000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC) Name (LB)	Buyer, 200 Buyer Lane 917, 8015555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019
		GC's Account at LC	70202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

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

HKEX Synapse					
The Power of Connectivity					
Back Settlement Instruction Details Trade ID: 2119994155771921					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN		Depository BIC		Trade Date	2021-06-01
Local Code		Quantity		Type	DELI
Name		Settlement Date		Payment	CNY
		Settlement Currency		Deal Price Currency	CNY
		Settlement Amount		Deal Price	44.98
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real Time Settlement Indicator			
FUND DETAILS		PARTICIPANT DETAILS			
ID		AM BIC		LC BIC	
Name		AM Name		LC Name	
Fund Account at GC		Investor ID		SPSA	
		GC BIC		Counterparty - EP (BIC) Name (LB)	
		GC Name		Counterparty - CP CCASS ID	
		GC's Account at LC		CP's Account at CCASS	
		EP's Account at CP			

REJECTION CODE:

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

Cancel

HKEX Synapse					
The Power of Connectivity					
Back Settlement Instruction Details Trade ID: 2119994155771921					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN		Depository BIC		Trade Date	2021-06-01
Local Code		Quantity		Type	DELI
Name		Settlement Date		Payment	CNY
		Settlement Currency		Deal Price Currency	CNY
		Settlement Amount		Deal Price	44.98
		Effective Settlement Date		Currency To Buy	USD
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real Time Settlement Indicator			
FUND DETAILS		PARTICIPANT DETAILS			
ID		AM BIC		LC BIC	
Name		AM Name		LC Name	
Fund Account at GC		Investor ID		SPSA	
		GC BIC		Counterparty - EP (BIC) Name (LB)	
		GC Name		Counterparty - CP CCASS ID	
		GC's Account at LC		CP's Account at CCASS	
		EP's Account at CP			

Account Servitor Deadline Missed (ADBA)

Cash Account (CASH)

Common Reference Rejection (HRE)

Corporate Action Rejection (CAER)

Deal Price (DPA)

Impossible Cash Settlement System (ICSS)

Impossible To Use The RTGS System Instruction (RTGS)

Invalid Delivery (INDEL)

Invalid Investor Party (INVP)

Invalid Lot (INVL)

Invalid Lot Number (INLN)

Invalid Rate (INRL)

Invalid Security (INSEC)

Lack Of Stamp Duty (SDUT)

Market Deadline Missed (LATE)

Minimum Settlement Quantity (MISQ)

Multiple Settlement Quantity (MISQ)

Other (OTH)

Physical Settlement Impossible (PHYS)

Price Of Listing (PLIS)

Price Of Settlement (PSP)

Price Of Trade (PLAT)

Processing Error Rejection (BATE)

Quantity Rejection (QDIA)

Receiving Delivering Depository (DEPT)

Receiving Delivering Party 1 (DCAP)

Receiving Delivering Party 2 (DCAP)

Receiving Delivering Party 3 (DCAP)

Reference Rejection (REFR)

Settlement Account Rejection (SAR)

Settlement Amount Currency Rejection (HCR)

Settlement Amount Rejection (SAR)

Settlement Date Rejection (SDAT)

Settlement System Method Rejection (SMTS)

Settlement Transaction Rejection (SCTR)

The System Rejection (TSRT)

Trade Date (TRAD)

REJECTION CODE:

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

Invalid Rule (NLR)

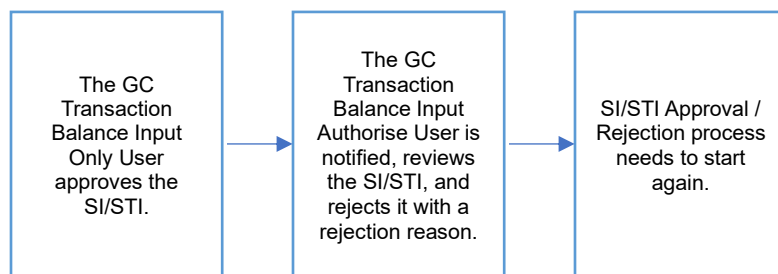
Cancel Submit

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

INST TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP INC	TRADE ID	GC	LC	CP	STATUS
SI	CNE100000039	25.315	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2333554155771821	X	-	-	Rejected
SI	CNE100000039	26.625	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2362354155771821	-	-	-	Unmatched
SI	CNE100000039	26.627	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2362354155771821	-	-	-	Unmatched
SI	CNE100000039	26.622	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2362354155771821	-	-	-	Unmatched
SI	CNE100000039	26.621	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2362354155771821	-	-	-	Unmatched
SI	CNE100000039	26.624	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2362354155771821	-	-	-	Unmatched
SI	CNE100000039	26.623	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2362354155771821	-	-	-	Unmatched
SI	CNE100000039	26.626	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2362354155771821	-	-	-	Unmatched
SI	CNE100000039	2.775	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	3688854155771821	-	-	-	Settled
SI	CNE100000039	2.731	CNY	4,865,977.07	DELI	DVP	542231	DTCCSELXXX	2333554155771821	-	-	-	Settled

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

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



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

HKEX Synapse The Power of Connectivity					
Home Settlement Instruction Details Trade ID: 296204155771921					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
Rejected to Maker					
SI STATUS					
GC MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: --	CP APPROVED: --	CGASS STATUS:	CANCELLATION STATUS:
Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

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

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

HKEX Synapse

The Power of Connectivity

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SETTLEMENT INSTRUCTIONS

55010

ProcessingUnmatchedMatchedSettledCancelled

Q SearchGenerate Report

2021-05-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP IBC	TRADE ID	GC	LC	CP	STATUS
STI	CNE100000039	20,312	CNY	4,085,977.07	ORLI	DVP	542231	DTCCRELLXXX	2331064155771921	-	-	-	DETAILS
STI	CNE100000039	20,827	CNY	4,095,977.07	ORLI	DVP	542231	DTCCRELLXXX	296204155771921	-	-	-	DETAILS
STI	CNE100000039	20,827	CNY	4,095,977.07	UGLI	DVP	542231	DTCCRELLXXX	296204155771921	-	-	-	DETAILS
SI	CNE100000039	20,822	CNY	4,095,977.07	UGLI	DVP	542231	219994155771921	219994155771921	✓	✓	-	UnmatchedDETAILS
SI	CNE100000039	20,821	CNY	4,095,977.07	UGLI	DVP	542231	219994155771921	219994155771921	✓	✓	-	UnmatchedDETAILS
SI	CNE100000039	20,824	CNY	4,095,977.07	UGLI	DVP	542231	219994155771921	219994155771921	✓	✓	-	UnmatchedDETAILS
SI	CNE100000039	20,823	CNY	4,085,977.07	UGLI	DVP	542231	219994155771921	219994155771921	✓	✓	-	UnmatchedDETAILS
SI	CNE100000039	20,826	CNY	4,085,977.07	UGLI	DVP	542231	DTCCRELLXXX	296204155771921	✓	✓	-	UnmatchedDETAILS
SI	CNE100000039	2,775	CNY	4,095,977.07	UGLI	DVP	542231	DTCCRELLXXX	308094155771921	✓	✓	✓	SettledDETAILS
SI	CNE100000039	2,231	CNY	4,095,977.07	UGLI	DVP	542231	DTCCRELLXXX	2231964155771921	✓	✓	-	DETAILS
SI	CNE100000039	20,825	CNY	4,095,977.07	UGLI	DVP	542231	219994155771921	219994155771921	✗	-	-	DETAILS

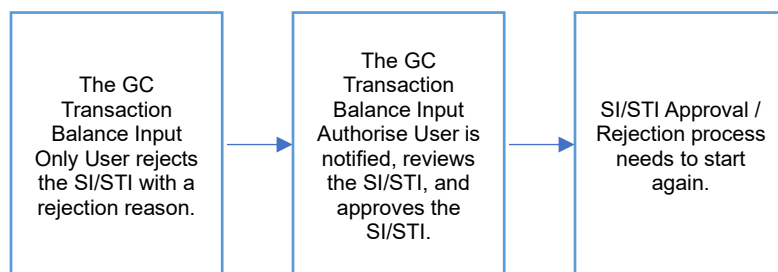
Rejection by GC Transaction Balance Input Only User; Rejection by GC Transaction Balance Input Authorise User (different rejection reason(s) between Input Only User and Input Authorise User):

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

Balance Input Only User can then re-approve or re-reject the rejected settlement instruction.

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

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



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

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

INX TYPE	INX	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
STI	CNE1000000.00	20.310	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2331064955771821	—	—	—	Details
STI	CNE1000000.00	29.827	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2962064955771821	—	—	—	Details
STI	CNE1000000.00	29.827	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2962064955771821	✓	✓	—	Unmatched Details
SI	CNE1000000.00	29.821	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2119994155771821	✓	✓	—	Unmatched Details
SI	CNE1000000.00	29.824	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2119994155771821	✓	✓	—	Unmatched Details
SI	CNE1000000.00	29.825	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2119994155771821	✓	✓	—	Unmatched Details
SI	CNE1000000.00	29.826	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2962064955771821	✓	✓	—	Unmatched Details
SI	CNE1000000.00	2.775	CNY	4,085,977.07	DEU	DVP	540080	DTCCSELXXX	3008949555771821	✓	✓	✓	Settled Details
SI	CNE1000000.00	2.231	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2231994155771821	✓	—	—	Details
SI	CNE1000000.00	29.825	CNY	4,085,977.07	DEU	DVP	540231	DTCCSELXXX	2119994155771821	✗	—	—	Details

Health check findings in SI Health Check tab

Background

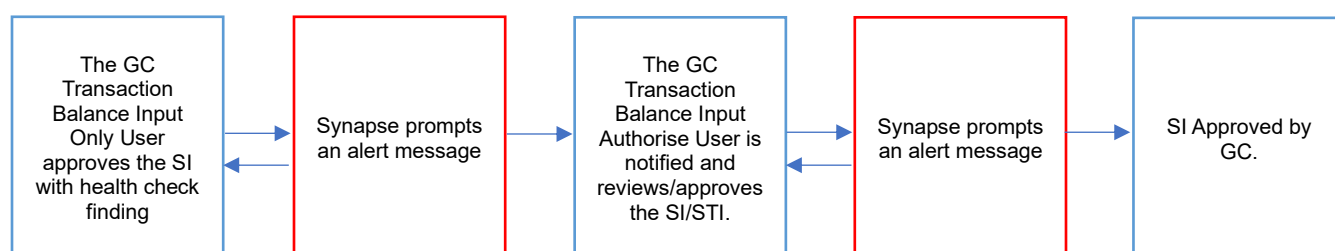
To reduce the risk of settlement failure, the health check provides additional business validation on the incoming settlement instruction from DTCC when Synapse users starts the approval workflow. Regardless of failure reasons, Synapse will trigger an alert message when the reason is detected.

Workflow and Process

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

Recommendation

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



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

HKEX Synapse

The Power of Connectivity.

10 July 2024

synua2069 synua2069

Back

Settlement Instruction Details

Trade ID: 6171230902150034

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNF000000040	Depository BIC	XHKCH041000X	Trade Date	2023-09-01
Local Code	70001	Quantity	340,600	Type	RECE
Name	PING AN BANK CO., LTD. (A9000001)	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	340,000.01	Deal Price	44.09
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP1173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
Fund Account at GC	54202406	Investor ID	300013	SPSA	00000001
		GC BIC	SYNCOMP256X	Counterparty - EP (BIC/Name/LEI)	Seller: 300 Seller Lane, NY, NY 99999
		GC Name	SynComp256	Counterparty - CP CCASS ID	D01130
		GC's Account at LC	76202409	CP's Account at CCASS	
		EP's Account at CP			

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

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10 July 2024synua2069 synua2069

RejectApprove

BackSettlement Instruction DetailsTrade ID: 6171230902150034

KEY SETTLEMENT DETAILSSETTLEMENT STATUSSI HEALTH CHECKTRANSACTION REFERENCES AND LIFECYCLE

SI HEALTH CHECK:

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

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

HKEX Synapse

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10 July 2024synua2069 synua2069

RejectApprove

BackSettlement Instruction DetailsTrade ID: 6171230902150034

KEY SETTLEMENT DETAILSSETTLEMENT STATUSSI HEALTH CHECKTRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

GC MAKER: --Reason: NA

GC CHECKER: --Reason: NA

LC APPROVED: --Reason: NA

CP APPROVED: --Reason: NA

CCASS STATUS: Reason: NA

CANCELLATION STATUS: Reason: NA

Alert Message

Please go to "SI HEALTH CHECK". There is a health check finding.

Click Abort to stop the approval process, or Click Continue to confirm the approval.

ContinueAbort

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

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10 July 2024synua2069 synua2069

RejectApprove

BackSettlement Instruction DetailsTrade ID: 6171230902150034

KEY SETTLEMENT DETAILSSETTLEMENT STATUSSI HEALTH CHECKTRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

GC MAKER: ✓ APPROVEDReason: NA

GC CHECKER: --Reason: NA

LC APPROVED: --Reason: NA

CP APPROVED: --Reason: NA

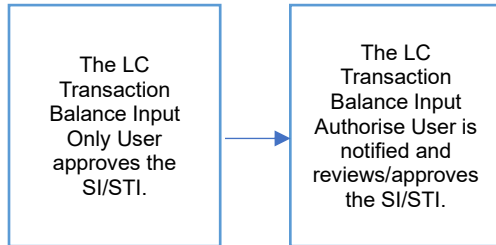
CCASS STATUS: Reason: NA

CANCELLATION STATUS: Reason: NA

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

7.3.1.5 Local Custodian (LC)

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



Approval by LC Transaction Balance Input Only User:

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

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The Power of Connectivity.

13 April 2023 synuat141 synuat141

Dashboard Settlement Instructions Funds Relationships Market Data Reports

Settlement Instructions

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

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS	
SI	CNE100003059	279,800	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001	2796912176691269	✓	✓	✓	Settled	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190943	—	—	—		DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190944	—	—	—		DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190941	—	—	—		DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190942	—	—	—		DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001	0000000756190940	✓	—	—		DETAILS >

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HKEX Synapse The Power of Connectivity.					
Settlement Instruction Details Trade ID: 61712301919029					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE10003059	Depository BIC	09WCH0H1XXX	Trade Date	2023-09-01
Local Code	93096	Quantity	200.000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	ONP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200.000.01	Deal Price	44.08
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200.000.01	FX Cancellation	
		Real Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp112
		Investor ID	300013	SPSA	00000001
		GC BIC	SYNCOMP0506	Counterparty - EP (BIC Name LEB)	Buyer: 200 Buyer Lane NY, NY 10005
		GC Name	SynComp055	Counterparty - CP (CCASS ID)	00010
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

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

HKEX Synapse The Power of Connectivity.					
Settlement Instruction Details Trade ID: 0000000756190940					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
SI STATUS					
LC MAKER: —	LC CHECKER: —	GC APPROVED: ✓ APPROVED	CP APPROVED: —	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

HKEX Synapse The Power of Connectivity.					
Settlement Instruction Details Trade ID: 0000000756190940					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
Successfully Approved					
SI STATUS					
LC MAKER: ✓ APPROVED	LC CHECKER: —	GC APPROVED: ✓ APPROVED	CP APPROVED: —	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

Approval by LC Transaction Balance Input Authorise User:

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

The Power of Connectivity.

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Processing Unmatched Matched Settled Cancelled

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

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KHEX Synapse


The Power of Connectivity

📅 10 July 2024 |
 👤 synmate@khe.com

[Back](#) | Settlement Instruction Details Trade ID: 617123631010620

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


FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
IDN	CHE10003059	Depository BIC		SPHCHNHXXXX	Trade Date
Local Code	93986	Quantity	200.000	Type	
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-08-01	Payment	
		Settlement Currency	CNY	Deal Price Currency	
		Settlement Amount	200.000.01	Deal Price	
		Effective Settlement Date	2023-08-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200.000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	S0202406	AM BIC		SYNCOMP17XX	LC BIC
Name	Fund Profile 202406	AM Name		SynComp173	SynComp17C
		Investor ID		200011	SPSA
		GC BIC		SYNCOMP35XX	Counterparty - EP (BIC Name LBS)
		GC Name		SynComp25XX	Counterparty - CP CCASS ID
		GC's Account at LC		7020166	CPA Account at CCASS
		EP's Account at CP		12345678	



The Power of Connectivity.

13 April 2023

synuat143 synuat143



[+ Back](#)
[Settlement Instruction Details](#)
[Trade ID: 0000000756190940](#)


[Single](#)
[Aggregate](#)

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

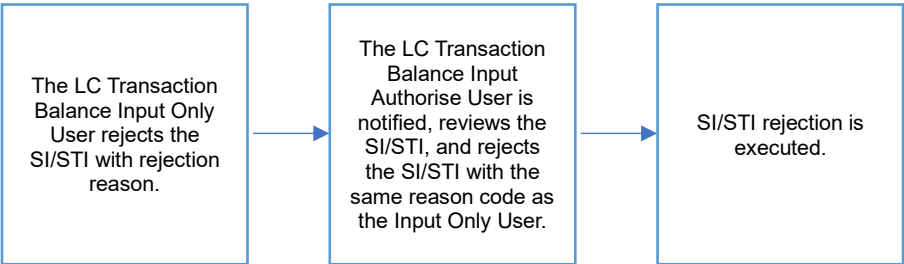
TRANSACTION REFERENCES AND LIFECYCLE


 Successfully Approved

SI STATUS

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

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



Rejection by LC Transaction Balance Input Only User:

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

KEY SETTLEMENT DETAILS		SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE	
FINANCIAL INSTRUMENT DETAILS					
ISIN	CHE10003059	Depository BIC	J09C00010000	Trade Date	2023-08-01
Local Code	93995	Quantity	200.000	Type	DEU
Name	OSGADVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-08-01	Payment	DEU
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200.000.01	Deal Price	44.98
		Effective Settlement Date	2023-08-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Real-Time Settlement Indicator	False	FX Cancellation	
FUND DETAILS					
ID	55320406	AM BIC	SYNCOMP173X	L/C BIC	SYNCOMP112X
Name	Fund Profile 202406	AM Name	SynComp173	L/C Name	SynComp112
		Investor ID	300013	SP SA	80000001
		GC BIC	SYNCOMP150A	Counterparty - EP (BIC Name)	Buyer, 200 Buyer Lane 91, 8110005
		GC Name	SynComp150A	Counterparty - CP (CASS ID)	C00019
		GC's Account at LC	76250406	C/P's Account at CCASS	
		EP's Account at CP	12345678		

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

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Back Settlement Instruction Details Trade ID: 0000000756190941

Reject Approve

KEY SETTLEMENT DETAILS

FINANCIAL INSTRUMENT DETAILS

ISIN
Local Code
Name
GIGADEVICE

FUND DETAILS

ID
Name

REJECTION CODE:

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

Cancel

2021-06-05
DELI
DVP
CNY
44.06

JMPPIJ500X
SynComp521
80000001

GC Name
GC's Account at LC

SynComp511
123456789

Counterparty - CP CCASS ID
CP's Account at CCASS

B01110

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Back Settlement Instruction Details Trade ID: 0000000756190941

Reject Approve

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

Successfully Rejected

SI STATUS

LC MAKER: X REJECTED	LC CHECKER: —	GC APPROVED: —	CP APPROVED: —	CCASS STATUS:	CANCELLATION STATUS:
Reason: Account Servicer Deadline Missed [ADEA]	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

Rejection by LC Transaction Balance Input Authorise User:

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

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

Settlement Instructions

SETTLEMENT INSTRUCTIONS

4 1 0 1 0
Processing Unmatched Matched Settled Cancelled

Search Generate Report

2021-06-05

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

Previous < > Next

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

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10 July 2024 @ synuat782 synuat782

Back Settlement Instruction Details Trade ID: 617123031010000

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100000059	Depository BIC	XPHCHW01XXX	Trade Date	2023-09-01
Local Code	93066	Quantity	200,000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.56
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS	
ID	55202406	AM BIC	SYNCOMP173X
Name	Fund Profile 202406	AM Name	SynComp173
		Investor ID	300013
		GC BIC	SYNCOMP180X
		GC Name	SynComp180
		GC's Account at LC	7020468
		EP's Account at CP	12345678
		LC BIC	SYNCOMP120X
		LC Name	SynComp12
		SPSA	80000001
		Counterparty - EP (BIC Name L3)	Buyer, 200 Buyer Lane NY, NY 10005
		Counterparty - CP CCA55 ID	CC0019
		CP's Account at CCA55	

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23 @ synuat143 synuat143

Back Settlement Instruction Details Trade ID: 0000000756190941

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100000059	Depository BIC	XPHCHW01XXX	Trade Date	2021-06-05
Local Code	93066	Quantity	200,000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-05	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date	2021-06-05	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS	
ID	55202406	AM BIC	SYNCOMP173X
Name	Fund Profile 202406	AM Name	SynComp173
		Investor ID	300013
		GC BIC	SYNCOMP180X
		GC Name	SynComp180
		GC's Account at LC	7020468
		EP's Account at CP	12345678
		LC BIC	SYNCOMP120X
		LC Name	SynComp12
		SPSA	80000001
		Counterparty - EP (BIC Name L3)	Buyer, 200 Buyer Lane NY, NY 10005
		Counterparty - CP CCA55 ID	CC0019
		CP's Account at CCA55	

Account Servicer Deadline Missed [ADEA]
Cash Account [CASH]
Common Reference Rejection [IIND]
Corporate Action Rejection [CAEV]
Deal Price [DDEA]
Impossible Cash Settlement System [CASY]
Impossible To Use The RTGS System Instructed [RTGS]
Invalid Balance [INVB]
Invalid Investor Party [INVE]
Invalid Link [INVL]
Invalid Lot Number [INVN]
Invalid Rule [VALR]
Invalid Security [DSEC]
Lack Of Stamp Duty [SDUT]
Market Deadline Missed [LATE]
Minimum Settlement Quantity [MINO]
Multiple Settlement Quantity [MUNO]
Other [OTHR]
Physical Settlement Impossible [PHYS]
Place Of Listing [PLIS]
Place Of Safekeeping [INPS]
Place Of Trade [PLCE]
Processing Batch Rejection [BATC]
Quantity Rejection [DQUA]
Receiving Delivering Depository [DEPT]
Receiving Delivering Party 1 [ICAG]

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13 April 2023 @ synuat143 synuat143

Back Settlement Instruction Details Trade ID: 0000000756190941

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE100000059	Depository BIC	XPHCHW01XXX	Trade Date	2021-06-05
Local Code	93066	Quantity	200,000	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-05	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	200,000.01	Deal Price	44.06
		Effective Settlement Date	2021-06-05	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		

FUND DETAILS		PARTICIPANT DETAILS	
ID	55202406	AM BIC	SYNCOMP173X
Name	Fund Profile 202406	AM Name	SynComp173
		Investor ID	300013
		GC BIC	SYNCOMP180X
		GC Name	SynComp180
		GC's Account at LC	7020468
		EP's Account at CP	12345678
		LC BIC	SYNCOMP120X
		LC Name	SynComp12
		SPSA	80000001
		Counterparty - EP (BIC Name L3)	Buyer, 200 Buyer Lane NY, NY 10005
		Counterparty - CP CCA55 ID	CC0019
		CP's Account at CCA55	

REJECTION CODE:

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

Account Servicer Deadline Missed [ADEA]

Cancel Submit

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

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13 April 2023 synuat143 synuat143

Back Settlement Instruction Details Trade ID: 0000000756190941 Reject Approve

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

Successfully Rejected

SI STATUS

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

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

HKEX Synapse

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13 April 2023

synuat143 synuat143

Dashboard

Settlement Instructions

Funds

Relationships

Market Data

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Settlement Instructions

SETTLEMENT INSTRUCTIONS

41010

ProcessingUnmatchedMatchedSettledCancelled

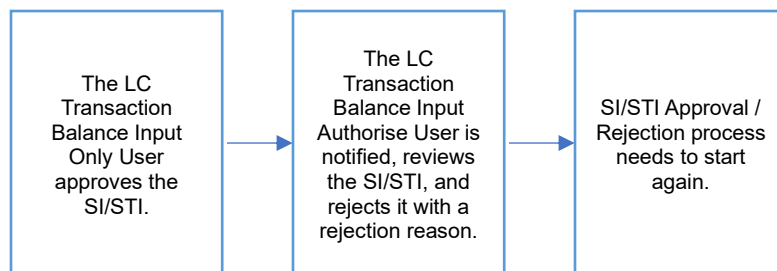
Search

Generate Report

2021-06-05

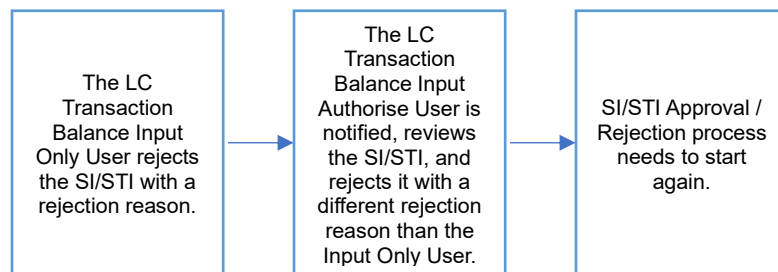
INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS	
SI	CNE1000030S9	279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	✓	✓	✓		Settled	DETAILS
SI	CNE1000030S9	2,102	CNY	4,065,977.07	DELI	DVP	123456789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

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



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

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



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

The screenshot shows the HKEX Synapse interface. At the top, it says "HKEX Synapse The Power of Connectivity." and "13 April 2023 synuat143 synuat143". Below this, there's a "Settlement Instruction Details" section with "Trade ID: 0000000756190942". A "REJECTION CODE:" dialog box is open, asking the user to select a code for rejection. The selected code is "Safekeeping Account Rejection [SAFE]". There are "Cancel" and "Submit" buttons. On the left, under "SI STATUS", it says "LC MAKER: X REJECTED" and "Reason: Account Servicer Deadline Missed [ADEA]". On the right, under "CANCELLATION STATUS:", it says "Reason: NA".

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13 April 2023 ④ synuat143 synuat143

Back Settlement Instruction Details Trade ID: 0000000756190942 Reject Approve

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

Rejected to Maker

SI STATUS

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

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

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

Settlement Instructions

SETTLEMENT INSTRUCTIONS

4 1 0 1 0
Processing Unmatched Matched Settled Cancelled

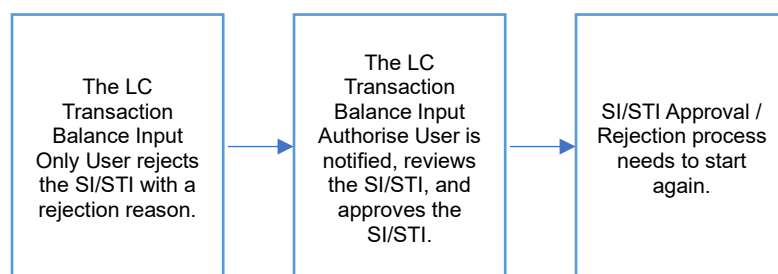
Search Generate Report

2021-06-05

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

Previous < > Next

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



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

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

Health check findings in SI Health Check tab

Background

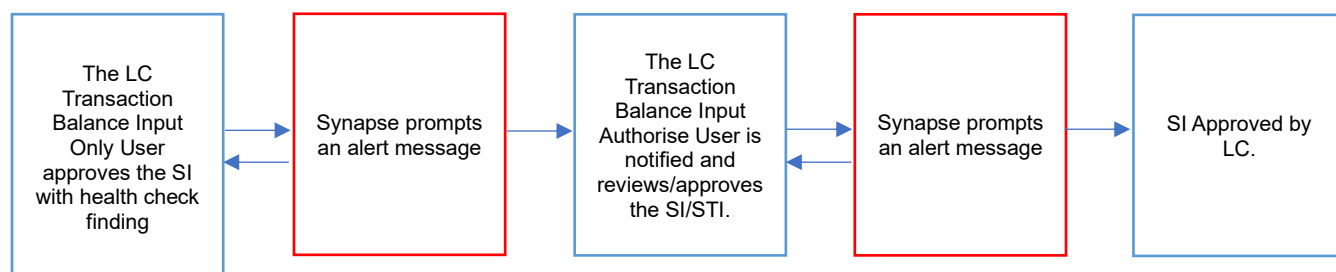
To reduce the risk of settlement failure, the health check provides additional business validation on the incoming settlement instruction from DTCC when Synapse users starts the approval workflow. Regardless of failure reasons, Synapse will trigger an alert message when the reason is detected.

Workflow and Process

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

Recommendation

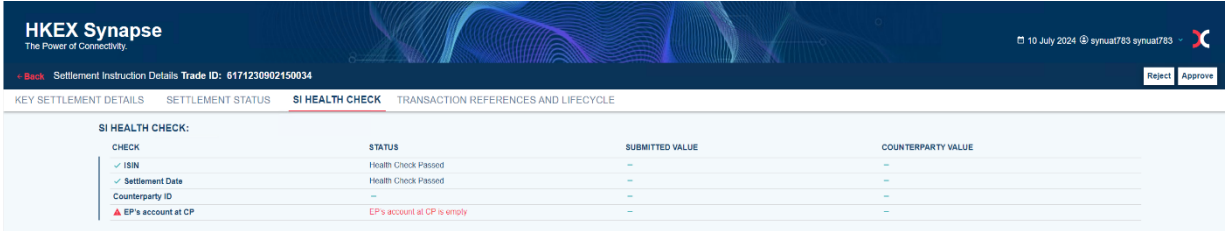
Refer to the chapter 7.6 for business validations of settlement instruction and recommendations on resolving health check findings.



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

HKEX Synapse The Power of Connectivity.			
Back Settlement Instruction Details Trade ID: 6171230602150034			
Reject Approve			
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS	
ISIN	CNE000000040	Depository BIC	XIHC1611000X
Local Code	70001	Quantity	340,000
Name	PING AN BANK CO., LTD. (A4000001)	Settlement Date	2023-09-01
		Settlement Currency	CNY
		Settlement Amount	340,000.01
		Effective Settlement Date	
		Settled Currency	
		Settled Amount	
		Real-Time Settlement Indicator	False
FUND DETAILS		PARTICIPANT DETAILS	
ID	55202406	AM BIC	SYNCOMP172X
Name	Fund Profile 202406	AM Name	SynComp173
		Investor ID	300013
		GC BIC	SYNCOMP156X
		GC Name	SynComp156
		GC's Account at LC	70202406
		EP's Account at CP	
TRADE DETAILS		TRADE DETAILS	
		Trade Date	2023-09-01
		Type	RCCE
		Payment	DVP
		Deal Price Currency	CNY
		Deal Price	44.06
		Currency To Buy	
		Currency To Sell	
		FX Cancellation	
		Counterparty - EP (BIC/Name/LEI)	Seller, 300 Seller Lane, NY, NY 10066
		Counterparty - CP CCASS ID	801130
		CP's Account at CCASS	

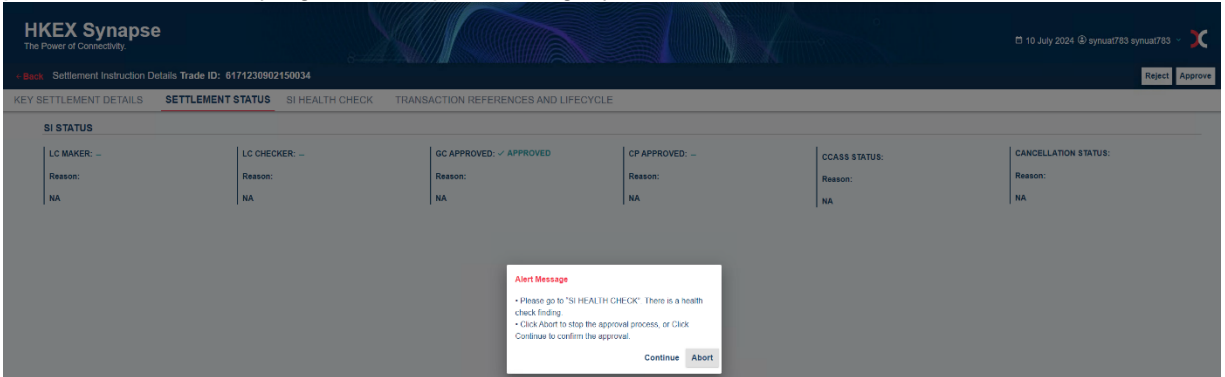
2. If a settlement instruction fails the health check, an alert message will be prompted up “Please go to “SI HEALTH CHECK”. There is a health check finding.”.



The screenshot shows the 'SI HEALTH CHECK' tab in the HKEX Synapse interface. The page header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '10 July 2024', and the user 'synuat783 synuat783'. A navigation bar at the top contains links for 'Back', 'Settlement Instruction Details', 'Trade ID: 6171230902150034', and buttons for 'Reject' and 'Approve'. Below the navigation bar, the 'SI HEALTH CHECK' tab is active, showing a table with four columns: CHECK, STATUS, SUBMITTED VALUE, and COUNTERPARTY VALUE. The table contains three rows: 'ISIN' with status 'Health Check Passed', 'Settlement Date' with status 'Health Check Passed', and 'Counterparty ID' with status 'EP's account at CP' and a red warning icon. The 'SUBMITTED VALUE' and 'COUNTERPARTY VALUE' columns are empty.

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

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



The screenshot shows the 'SI STATUS' tab in the HKEX Synapse interface. The page header is the same as the previous screenshot. The 'SI STATUS' tab is active, showing a table with six columns: LC MAKER, LC CHECKER, GC APPROVED, CP APPROVED, CCASS STATUS, and CANCELLATION STATUS. Each column has a 'Reason' field. The 'Reason' fields for 'LC MAKER', 'LC CHECKER', 'GC APPROVED', 'CP APPROVED', 'CCASS STATUS', and 'CANCELLATION STATUS' are all 'NA'. An 'Alert Message' dialog box is displayed in the center of the screen, containing the text: 'Please go to "SI HEALTH CHECK". There is a health check finding. Click Abort to stop the approval process, or Click Continue to confirm the approval.' The dialog box has 'Continue' and 'Abort' buttons.

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

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



The screenshot shows the 'SI STATUS' tab in the HKEX Synapse interface. The page header is the same as the previous screenshot. The 'SI STATUS' tab is active, showing a table with six columns: LC MAKER, LC CHECKER, GC APPROVED, CP APPROVED, CCASS STATUS, and CANCELLATION STATUS. Each column has a 'Reason' field. The 'Reason' fields for 'LC MAKER', 'LC CHECKER', 'GC APPROVED', 'CP APPROVED', 'CCASS STATUS', and 'CANCELLATION STATUS' are all 'NA'. A green banner at the top of the table area reads 'Successfully Approved'.

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

5. The same approval process will be applied to the LC Transaction Balance Input Authorise User.

7.3.2 Sell Side

7.3.2.1 Exchange Participant (EP)

EPs have view only rights to SI/STI processing.

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ProcessingUnmatchedMatchedSettledCancelled

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	AM BIC	TRADE ID	CP	GC	
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	0000000056341153	—	—	
SI	CNE1000030S9	279,600	CNY	4,065,977.07	RECE	DVP	900546	DTCCMEORXXX	5000916261292796	✓	✓	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	0000000056341152	—	—	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	0000000056341154	—	—	DETAILS >
SI	CNE1000030S9	92,000	CNY	4,065,977.07	DELI	DVP	900546	DTCCMEORXXX	5000916261222796	—	—	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	0000000056341150	✓	✓	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	DTCCMEORXXX	0000000056341151	—	✗	DETAILS >

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Organization: SynComp531

ACTING AS:

Identity: Exchange Participant

Function 1: SYN User

Role Type: Input-Only

Function 2: Transaction-Balances

Role Type: Input-Only

Function 3: Data Manager

Role Type: Input-Only

Logout

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Settlement Instruction Details

Trade ID: 0000000056341154

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

ISIN: CNE1000030S9

Local Code: 93986

Name: GIGADEVICE SEMICONDUCTOR(BEIJING) INC

SETTLEMENT DETAILS

Depository BIC: XHKCHKH1XXX

Quantity: 2,102

Settlement Date: 2021-06-06

Settlement Currency: CNY

Settlement Amount: 4,065,977.07

Effective Settlement Date

Settled Currency

Settled Amount

Real-Time Settlement Indicator: False

TRADE DETAILS

Trade Date: 2021-06-05

Type: RECE

Payment: DVP

Deal Price Currency: CNY

Deal Price: 44.06

Currency To Buy

Currency To Sell: USD

FX Cancellation

PARTICIPANT DETAILS

EP BIC: DTCCSELLXXX

EP Name: SynComp531

EP's Account at CP: 999991

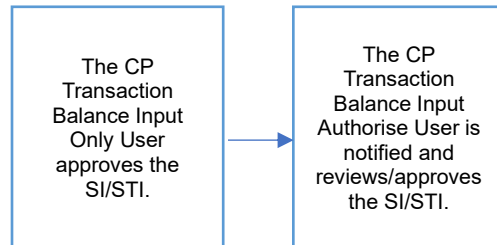
CP BIC: DTCCDEAGXXX

CP Name: SynComp541

CP's Account at CCASS: 11

7.3.2.2 Clearing Participant (CP)

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



Approval by CP Transaction Balance Input Only User:

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

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INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003059	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	—	—	—	DETAILS >
SI	CNE100003059	279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341152	—	—	—	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341153	—	—	—	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341154	—	—	—	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341150	✓	✓	✓	DETAILS >
SI	CNE100003059	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341151	—	—	✗	DETAILS >

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

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Settlement Instruction Details Trade ID: 0000000056341150

Reject Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

CNE1000030S9

Local Code

93986

Name

GIGADEVICE SEMICONDUCTOR(BEIJING) INC

Depository BIC

XHKCHKH1XXX

Quantity

2,102

Settlement Date

2021-06-06

Settlement Currency

CNY

Settlement Amount

4,065,977.07

Effective Settlement Date

Settled Currency

Settled Amount

Real-Time Settlement Indicator

False

Trade Date

2021-06-05

Type

RECE

Payment

DVP

Deal Price Currency

CNY

Deal Price

44.06

Currency To Buy

Currency To Sell

USD

FX Cancellation

PARTICIPANT DETAILS

EP BIC

DTCCSELLXXX

EP Name

SynComp531

EP's Account at CP

909991

CP BIC

DTCCDEAGXXX

CP Name

SynComp541

CP's Account at CCASS

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Settlement Instruction Details Trade ID: 0000000056341150

Reject Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

CP MAKER: —

Reason:

NA

CP CHECKER: —

Reason:

NA

GC APPROVED: ✓ APPROVED

Reason:

NA

LC APPROVED: ✓ APPROVED

Reason:

NA

CCASS STATUS:

Reason:

NA

CANCELLATION STATUS:

Reason:

NA

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Settlement Instruction Details Trade ID: 0000000056341150

Reject Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

CP MAKER: ✓ APPROVED

Reason:

NA

CP CHECKER: —

Reason:

NA

GC APPROVED: ✓ APPROVED

Reason:

NA

LC APPROVED: ✓ APPROVED

Reason:

NA

CCASS STATUS:

Reason:

NA

CANCELLATION STATUS:

Reason:

NA

Approval by CP Transaction Balance Input Authorise User:

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

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SI	CNE1000030S9	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	—	—	—		DETAILS >
SI	CNE1000030S9	279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled	DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341152	—	—	—		DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341153	—	—	—		DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341154	—	—	—		DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341150	•	✓	✓		DETAILS >
SI	CNE1000030S9	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341151	—	—	✗		DETAILS >

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

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Settlement Instruction Details Trade ID: 0000000056341150

Reject Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2,102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS

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

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Settlement Instruction Details Trade ID: 0000000056341150

Reject Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

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

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Classification – Internal

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Back Settlement Instruction Details Trade ID: 000000056341150

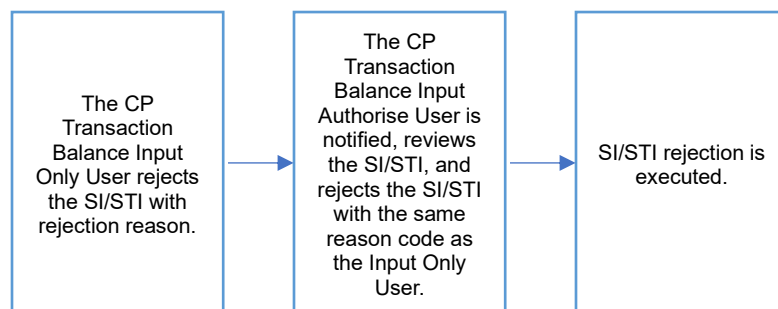
KEY SETTLEMENT DETAILS **SETTLEMENT STATUS** SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

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

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



Rejection by CP Transaction Balance Input Only User:

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

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Back Settlement Instruction Details Trade ID: 000000056341154

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93986	Quantity	2.102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,005,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USD
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS

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

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

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Settlement Instruction Details

Trade ID: 0000000056341154

Reject

Approve

KEY SETTLEMENT DETAILS

FINANCIAL INSTRUMENT DET

ISIN

Local Code

Name

GIGADEVICE

PARTICIPANT DETAILS

EP BIC

EP Name

EP's Account at CP

CP BIC

CP Name

CP's Account at CCASS

SynComp541

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REJECTION CODE:

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

Invalid Rule [VALR]

Cancel

Submit

2021-06-05

RECE

DVP

CNY

44.06

USD

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Settlement Instruction Details

Trade ID: 0000000056341154

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

Successfully Rejected

SI STATUS

CP MAKER: X REJECTED

Reason:

Invalid Rule [VALR]

CP CHECKER: —

Reason:

NA

GC APPROVED: —

Reason:

NA

LC APPROVED: —

Reason:

NA

CCASS STATUS:

Reason:

NA

CANCELLATION STATUS:

Reason:

NA

Rejection by CP Transaction Balance Input Authorise User:

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

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INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003089	92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	—	—	—	
SI	CNE100003089	279,600	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341152	—	—	—	
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341153	—	—	—	
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341154	—	—	—	
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341151	—	—	×	
SI	CNE100003089	2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341150	✓	✓	✓	Unmatched

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

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< Back Settlement Instruction Details Trade ID: 000000056341154

Reject Approve

KEY SETTLEMENT DETAILS

SI STATUS

CP MAKER: **REJECTED**

Reason:
Invalid Rule [VALR]

REJECTION CODE:

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

Invalid Rule [VALR]

Cancel Submit

CANCELLATION STATUS:

Reason:
NA

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

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< Back Settlement Instruction Details Trade ID: 000000056341154

Reject Approve

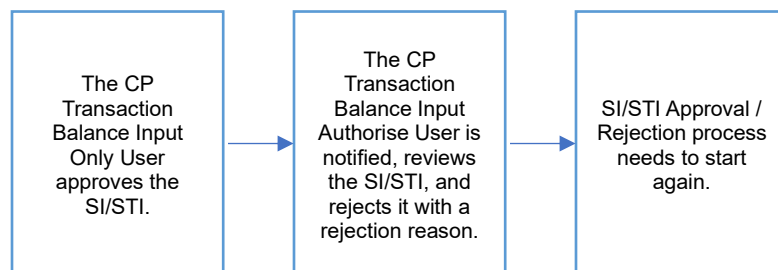
KEY SETTLEMENT DETAILS **SETTLEMENT STATUS** SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE

Successfully Rejected

SI STATUS

CP MAKER: REJECTED	CP CHECKER: REJECTED	GC APPROVED: --	LC APPROVED: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: Invalid Rule [VALR]	Reason: Invalid Rule [VALR]	Reason: NA	Reason: NA	Reason: NA	Reason: NA

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



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

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

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+ Back Settlement Instruction Details Trade ID: 000000056341152

Reject Approve

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

Rejected to Maker

SI STATUS

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

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

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SETTLEMENT INSTRUCTIONS

5 1 0 1 0
Processing Unmatched Matched Settled Cancelled

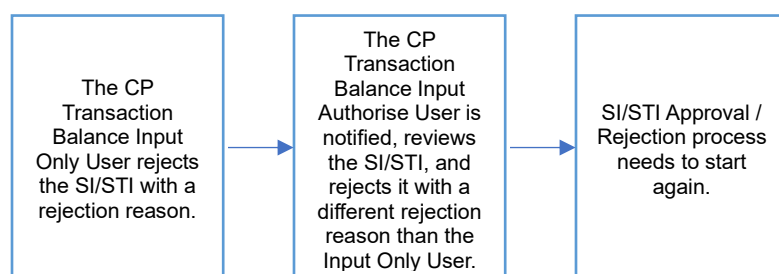
Search Generate Report

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

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



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

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+ Back Settlement Instruction Details Trade ID: 0000000056341152

Reject Approve

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

Rejected to Maker

SI STATUS

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

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

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13 April 2023 synuat283 synuat283

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

Settlement Instructions

SETTLEMENT INSTRUCTIONS

5 1 0 1 0
Processing Unmatched Matched Settled Cancelled

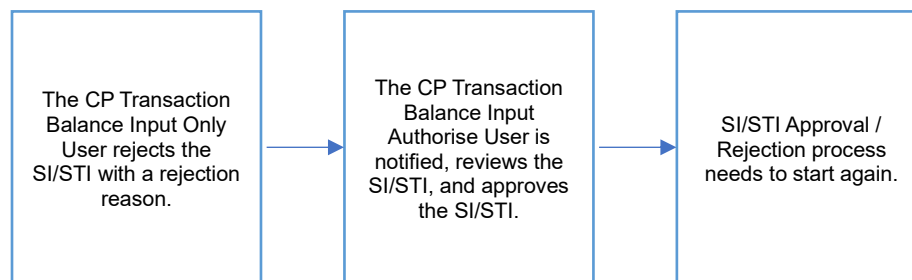
Search Generate Report

2021-06-05

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

Previous < > Next

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



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

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

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Back Settlement Instruction Details Trade ID: 0000000056341152 Reject Approve

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

Rejected to Maker

SI STATUS

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

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

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13 April 2023 ④ synuat283 synuat283

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

Settlement Instructions

SETTLEMENT INSTRUCTIONS

5 1 0 1 0
Processing Unmatched Matched Settled Cancelled

Search Generate Report

2021-06-05

INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SI	CNE100003089 92,000	CNY	4,065,977.07	DELI	DVP	900546	11	C00016	5000916261222796	--	--	--	--	DETAILS >
SI	CNE100003089 279,000	CNY	4,065,977.07	RECE	DVP	900546	11	C00016	5000916261292796	✓	✓	✓	Settled	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341152	--	--	--	--	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341153	--	--	--	--	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341151	--	--	×	--	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341150	✓	✓	✓	Unmatched	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	RECE	DVP	999991	11	C00016	0000000056341154	×	--	--	--	DETAILS >

Previous < > Next

7.4 Special STI (SSTI) Approvals and Rejections

Special STIs (SSTIs) can be approved or rejected on the Settlement Instruction Details view. Only Users belonging to the same Participant Entity can see the internal approval status of Transaction Balance Input Only User and Transaction Balance Input Authorise User. Other Participants involved in the transaction can only see entity level approvals. E.g. Only GC can see its internal approval status (e.g. GC maker have already approved), but the other entity (e.g. AM / LC) cannot see such detail until both GC maker and checker have approved.

AM / EP are obliged to ensure their reference data setup in DTCC is correct and that any transaction is not "matched" in DTCC side, i.e. remains single sided and DTCC only send one SN for such transaction.

GCs, LCs and CPs are the only participants required to approve or reject an SSTI. AMs and EPs can only view the Settlement Instructions details.

Approvals or rejections of SSTIs by the GC, LC, or CP do not need to be done in a specific order. For example, an SSTI does not require a specific buy side participant to approve or reject before the other.

7.4.1 Buy Side

7.4.1.1 Asset Managers (AM)

AMs have view only rights to SSTI processing.

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10 July 2024 | synapse1759 | synapse1759

Back

Settlement Instruction Details Trade ID: 6171230721133010

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

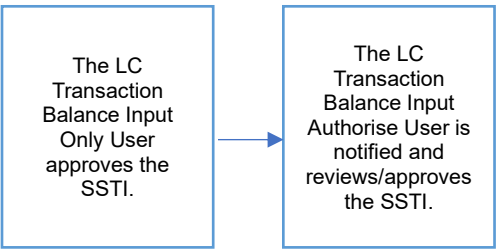
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	309KCH01XXXX	Trade Date	2024-07-10
Local Code	93906	Quantity	33.010	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	3,301,000.10	Deal Price	44.06
		Effective Settlement Date	2024-07-10	Currency To Buy	USD
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	3,301,000.10	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	001759	AM BIC	SYNCOMP294X	LC BIC	SYNCOMP105X
Name	Fidelity China Fund 1759	AM Name	S-y n Comp (294)	LC Name	S-y n Comp (105)
Fund Account at GC	541751	Investor ID	200270	SPSA	80000026
		GC BIC	SYNCOMP294X	Counterparty - EP (BIC) Name (LEI)	DTCCBEL105X
		GC Name	S-y n Comp (292)	Counterparty - CP CCASS ID	C00016
				CP's Account at CCASS	1

7.4.1.2 Global Custodian (GC)

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

7.4.1.3 Local Custodian (LC)

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



Approval by LC Transaction Balance Input Only User:

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

HKEX Synapse														
The Power of Connectivity														
<div>Dashboard</div> <div>Settlement Instructions</div> <div>Funds</div> <div>Settlements</div> <div>Market Data</div> <div>Reports</div>														
Settlement Instructions														
<div>SETTLEMENT INSTRUCTIONS</div> <div> <div>14</div> <div>5</div> <div>0</div> <div>2</div> <div>0</div> </div> <div>Processing Unmatched Matched Settled Cancelled</div> <div> <div>Search</div> <div>Generate Report</div> </div>														
2023-08-05														
INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	GC ACCOUNT AT LC	CP CCASS ID	SPSA	TRADE ID	GC	LC	CP	STATUS
SSTI	CNE100003039	2,162	CNY	4,065,977.07	DELI	DVP	444111	C00010	80000001	000000007619001	—	—	—	DETAILS
SSTI	CNE100003039	22,312	CNY	4,065,977.07	DELI	DVP	762231	C00016	80000001	223199415577821	—	—	—	DETAILS
SSTI	CNE100003039	2,162	CNY	4,065,977.07	DELI	DVP	444111	C00016	80000001	000000007619002	—	—	—	DETAILS
SSTI	CNE100003039	2,162	CNY	4,065,977.07	DELI	DVP	444111	C00016	80000001	000000007619003	—	—	—	DETAILS
SI	CNE100003039	2,331	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	223199415577821	—	—	—	DETAILS
SSTI	CNE100003039	2,162	CNY	4,065,977.07	DELI	DVP	444111	C00016	80000001	000000007619004	—	—	—	DETAILS
SSTI	CNE100003039	2,162	CNY	4,065,977.07	DELI	DVP	444111	C00016	80000001	000000007619005	—	—	—	DETAILS
SI	CNE100003039	29,625	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	21999415577821	—	—	—	DETAILS
SSTI	CNE100003039	82,398	CNY	4,065,977.07	DELI	DVP	762231	C00016	80000001	2034106011577821	✓	✓	Settled	DETAILS
SSTI	CNE100003039	82,398	CNY	4,065,977.07	DELI	DVP	762231	C00016	80000001	2034106011577822	✓	✓	Settled	DETAILS
SSTI	CNE100003039	29,627	CNY	4,065,977.07	DELI	DVP	762231	C00016	80000001	296239415577821	—	—	—	DETAILS
SI	CNE100003039	2,162	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	296239415577821	—	—	—	DETAILS
SI	CNE100003039	29,622	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	000000007619006	—	—	—	DETAILS
SI	CNE100003039	29,626	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	21999415577821	✓	✓	Unsettled	DETAILS
SI	CNE100003039	29,625	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	296239415577821	✓	✓	Unsettled	DETAILS
SI	CNE100003039	29,624	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	21999415577821	✓	✓	Unsettled	DETAILS
SI	CNE100003039	29,624	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	21999415577821	✓	✓	Unsettled	DETAILS
SI	CNE100003039	82,398	CNY	4,065,977.07	RECE	DVP	764143	B01110	80000001	7430700040521919	✓	—	—	DETAILS
SSTI	CNE100003039	22,312	CNY	4,065,977.07	DELI	DVP	762231	C00016	80000001	223199415577821	—	—	—	DETAILS
SI	CNE100003039	2,231	CNY	4,065,977.07	DELI	DVP	762231	B01110	80000001	223199415577821	—	—	—	DETAILS

3. The LC Transaction Balance Input Only User views the details of an SSTI and to provide the following details:
 - a. Settled Amount (optional)
 - b. CP's Account at CCASS (mandatory)

HKEX Synapse

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Block

Settlement Instruction Details Trade ID: 6171236721133610

Report

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

Local Code

Name

CNE100003039

93085

GIGADEVICE SEMICONDUCTOR(BEIJING) INC

Depository BIC

Quantity

Settlement Date

Settlement Currency

Settlement Amount

Effective Settlement Date

Settled Currency

Settled Amount

Real-Time Settlement Indicator

209CH01XXXX

33,010

2024-07-10

CNY

3,361,000.10

CNY

3301000.1

False

Trade Date

Type

Payment

Deal Price Currency

Deal Price

Currency To Buy

Currency To Sell

FX Cancellation

2024-07-10

RECE

DVP

CNY

44.08

False

FUND DETAILS

PARTICIPANT DETAILS

ID

Name

031759

Fidelity China Fund 1759

AM BIC

AM Name

Investor ID

GC BIC

GC Name

GC's Account at LC

EP's Account at CP

SYNCCMP024X

S-y n Comp (284)

290276

SYNCCMP024X

S-y nComp (362)

761759

123456

LC BIC

LC Name

SPSA

Counterparty - EP (BIC Name) L2B

Counterparty - CP CCASS ID

CP's Account at CCASS

SYNCCMP185X

S-y n Comp (155)

800000026

DTCCSELLOCX

C00016

4. After adding those details, the LC Transaction Balance Input Only User can approve the SSTI by clicking “Approve”.

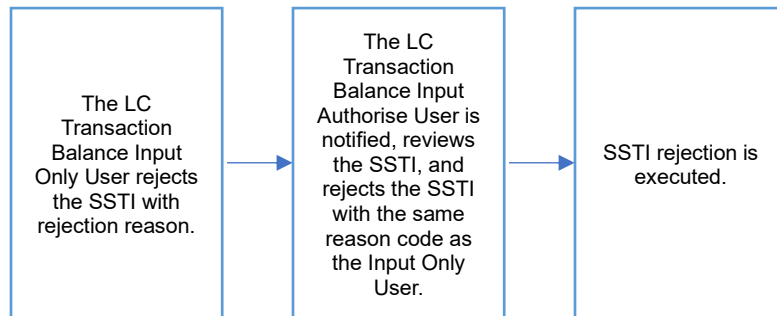
Approval by LC Transaction Balance Input Authorise User:

- | | | | | | | | | | |
|---|--|--|--|--|--|--|--|--|--|
| <div> <div> <div>HKEX Synapse</div> <div>The Power of Connectivity</div> </div> <div> <div>Dashboard</div> <div>Settlement Instructions</div> <div>Funds</div> <div>Relationships</div> <div>Market Data</div> <div>Reports</div> </div> </div> | | | | | | | | | |
| <div> <div>Settlement Instructions</div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>SETTLEMENT INSTRUCTIONS</div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
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| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
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| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
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| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
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| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
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| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |
| <div> <div>118066</div> <div>Processing Unmatched Matched Settled Cancelled</div> <div>Q Search</div> <div>Generate Report</div> </div> | | | | | | | | | |

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|--|-------------------------------------|--|-----------------|---|-----------------|
| HKEX Synapse
The Power of Connectivity | |  | |  | |
| Home Settlement Instruction Details Trade Id: 6171236721133810 | | 10 July 2024 @ synapse731 synapse731 - | | Logout Sign Out | |
| KEY SETTLEMENT DETAILS | | SETTLEMENT STATUS | | SI HEALTH CHECK | |
| FINANCIAL INSTRUMENT DETAILS | | SETTLEMENT DETAILS | | TRADE DETAILS | |
| ISIN | CNE100003039 | Depository BIC | 30XCH0310XXX | Trade Date | 2024-07-10 |
| Local Code | 93086 | Quantity | 33,910 | Type | REG |
| Name | OSI/SHADE SEMICONDUCOR(BEIJING) INC | Settlement Date | 2024-07-10 | Payment | CH |
| | | Settlement Currency | USD | Deal Price Currency | CH |
| | | Settlement Amount | 3,361,000.10 | Deal Price | 44.10 |
| | | Effective Settlement Date | | Currency To Buy | |
| | | Settled Currency | CHY | Currency To Sell | |
| | | ▲ Settled Amount | 3,361,000.10 | FX Cancellation | |
| | | Real-Time Settlement Indicator | False | | |
| FUND DETAILS | | PARTICIPANT DETAILS | | | |
| ID | 051719 | AM BIC | SYNCOMF24X | LC BIC | SYNCOMF105 |
| Name | Fidelity China Fund 1719 | AM Name | S & P Comp(24) | LC Name | S & P Comp(105) |
| | | Investor ID | 200278 | SPFA | 990000 |
| | | GC BIC | SYNCOMF92X | Counterparty - EP (BIC Name/ LSI) | DTCCBLL00 |
| | | GC Name | S & P Comp(102) | Counterparty - CP CCA55 ID | C080 |
| | | GC's Account at LC | 761719 | ▲ CP's Account at CCA55 | |
| | | EP's Account at CP | 123456 | | |

- If the GC has not yet approved the SSTI, then the GC Transaction Balance Input Only User will be notified that there is an SSTI pending their approval by a '✓' in the LC column and a '—' in the GC column.

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



Rejection by LC Transaction Balance Input Only User:

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

HKEX Synapse
The Power of Connectivity

10 July 2024 @ synapse728 synapse728

Back Settlement Instruction Details Trade ID: 6171236721133010

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	03062001XXXX	Trade Date	2024-07-10
Local Code	93990	Quantity	35,910	Type	RECE
Name	QISHI DEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DRP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	3,301,800.10	Deal Price	44.95
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	3381800.1 HKD	FX Cancellation	
		Real Time Settlement Indicator	False		

FUND DETAILS					
ID	551759	AM BIC	SVNCOMPO34X	LC BIC	SVNCOMPO34X
Name	Fidelity China Fund 1759	AM Name	Sy n Comp (24)	LC Name	Sy n Comp (195)
		Investor ID	308716	SPSA	30880026
		GC BIC	SVNCOMPO32X	Counterparty - EP (BIC) Name/LEI	BTCC088LXXXX
		GC Name	Sy n Comp (362)	Counterparty - CP CCASS ID	C00016
		GC's Account at LC	761759	CP's Account at CCASS	
		EP's Account at CP	123456		

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

HKEX Synapse
The Power of Connectivity

12 April 2023 @ synapse141 synapse141

Back Settlement Instruction Details Trade ID: 000000075019002

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN					2021-06-05
Local Code					DRP
Name					CNY
					44.95

FUND DETAILS					
ID					JMTMA1001XX
Name					Sy n Comp (21)
					30880026
					C00016

REJECTION CODE:

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

Invalid Link (INVL)

Cancel Submit

HKEX Synapse
The Power of Connectivity

12 April 2023 @ synapse141 synapse141

Back Settlement Instruction Details Trade ID: 000000075019002

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

Successfully Rejected

SI STATUS					
LC MAKER: X REJECTED	LC CHECKER: --	GC APPROVER: --	CP APPROVER: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: Invalid Link (INVL)	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

Rejection by LC Transaction Balance Input Authorise User:

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

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

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

HKEX Synapse

The Power of Connectivity

15 April 2023 @ 15:04:143

143

Check

Settlement Instruction Details Trade ID: 0000000075619082

Reject

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

Local Code

Name

2024-01-01

ISRU

DVP

GVN

44.98

REJECTION CODE:

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

Invalid Link (INVALID)

Cancel

Submit

FUND DETAILS

IS

Name

2024-01-01

ISRU

DVP

GVN

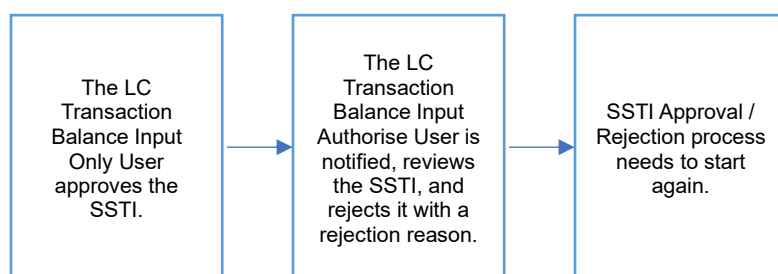
44.98

HKEX Synapse					
The Power of Connectivity					
12 April 2023 @ synapt43 synapt43					
Dashboard Settlement Instructions Details Trade ID: 000000075619062					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
Successfully Rejected					
SI STATUS					
LC MANAGER: REJECTED		LC CHECKER: REJECTED		GC APPROVED: --	
Reason: Invalid Link [DWL]		Reason: Invalid Link [DWL]		Reason: NA	
				CP APPROVED: --	
				Reason: NA	
				CCASS STATUS:	
				Reason: NA	
				CANCELLATION STATUS:	
				Reason: NA	

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

HKEX Synapse					
The Power of Connectivity					
12 April 2023 @ synapt43 synapt43					
Dashboard Settlement Instructions Funds Markets & Derivatives Market Data Reports					
Settlement Instructions					
SETTLEMENT INSTRUCTIONS 11 7 0 6 7					
Processing Unmatched Matched Settled Cancelled					
2021-06-05					
INS TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE
STI	CNE100000030	22,312	CHF	4,905,977.07	DELJ DVP
SSTI	CNE100000030	2,102	CHF	4,905,977.07	DELJ DVP
SSTI	CNE100000030	2,102	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	2,231	CHF	4,905,977.07	DELJ DVP
SSTI	CNE100000030	2,102	CHF	4,905,977.07	DELJ DVP
SSTI	CNE100000030	2,102	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,629	CHF	4,905,977.07	DELJ DVP
SSTI	CNE100000030	29,209	CHF	4,905,977.07	DELJ DVP
STI	CNE100000030	29,627	CHF	4,905,977.07	DELJ DVP
SSTI	CNE100000030	92,200	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,627	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,622	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,629	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,623	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,621	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,624	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	92,200	CHF	4,905,977.07	RECE DVP
SI	CNE100000030	29,621	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,623	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,624	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,623	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,629	CHF	4,905,977.07	DELJ DVP
STI	CNE100000030	29,627	CHF	4,905,977.07	DELJ DVP
STI	CNE100000030	29,627	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	22,312	CHF	4,905,977.07	DELJ DVP
SI	CNE100000030	29,629	CHF	4,905,977.07	DELJ DVP

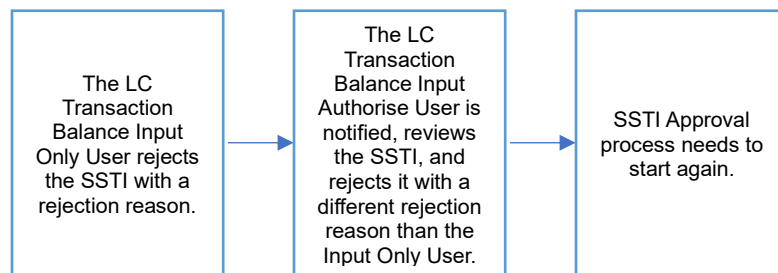
Approval by LC Transaction Balance Input Only User; Rejection by LC Transaction Balance Input Authorise User):



- Since the decisions between the LC Transaction Balance Input Only and the LC Transaction Balance Input Authorise Users are different, the process will effectively start over.
- LC Transaction Balance Input Only User can see the Approval is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
- On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI.

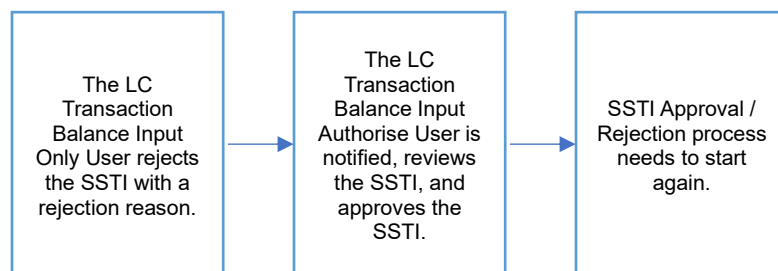
The re-approval process is the same as approval, while the re-reject process is the same as rejection.

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



1. Since the LC Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
3. On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

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



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

7.4.2 Sell Side

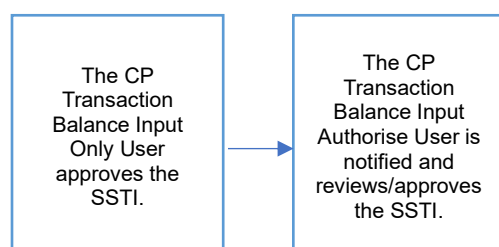
7.4.2.1 Exchange Participant (EP)

EPs have view only rights to SSTI processing.

HKEX Synapse The Power of Connectivity					
22 August 2022 symat221 symat221					
Back Settlement Instruction Details Trade ID: 000000056341173					
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE					
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-05
Local Code	93966	Quantity	92.200	Type	DELI
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	4,065,977.07	FX Cancellation	ERTS
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
EP BIC	S0SEPAAXXXX				
EP Name	SynComp532				
EP's Account at CP	960546				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				

7.4.2.2 Clearing Participant (CP)

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



Approval by CP Transaction Balance Input Only User:

1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and is informed that there is an SSTI pending their approval by a '—' in the CP column.

INST TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
SSTI	CNE100000000	22.312	CNY	4,065,977.07	RECE	DVP	900546	11	001110	000324024102231	—	—	—	Pending Approval
ST	CNE100000000	2,231	CNY	4,065,977.07	RECE	DVP	900546	11	000016	000324024102231	—	—	—	Settled
SSTI	CNE100000000	2.102	CNY	4,065,977.07	RECE	DVP	200001	900113	000016	0000000056341083	—	—	—	Settled
SSTI	CNE100000000	2.102	CNY	4,065,977.07	RECE	DVP	200001	900113	000016	0000000056341084	—	—	—	Settled
SSTI	CNE100000000	2.102	CNY	4,065,977.07	RECE	DVP	200001	900113	000016	0000000056341085	—	—	—	Settled
SSTI	CNE100000000	26.627	CNY	4,065,977.07	RECE	DVP	900546	11	001110	000324024102307	—	—	—	Settled
SSTI	CNE100000000	26.627	CNY	4,065,977.07	RECE	DVP	900546	11	001110	000324024102308	—	—	—	Settled
SSTI	CNE100000000	92.200	CNY	4,065,977.07	RECE	DVP	900546	11	001110	000000025702035	—	—	—	Reced by CCASS
ST	CNE100000000	26.626	CNY	4,065,977.07	RECE	DVP	900546	11	000016	000324024102326	—	—	—	Settled
ST	CNE100000000	26.626	CNY	4,065,977.07	RECE	DVP	900546	11	000016	000324024102328	—	—	—	Settled
SSTI	CNE100000000	26.627	CNY	4,065,977.07	RECE	DVP	900546	11	001110	000324024102327	—	—	—	Cancelled
ST	CNE100000000	26.627	CNY	4,065,977.07	RECE	DVP	900546	11	001110	000324024102328	—	—	—	Cancelled
SSTI	CNE100000000	22.312	CNY	4,065,977.07	RECE	DVP	900546	11	001110	000324024102331	—	—	—	Settled
ST	CNE100000000	2.231	CNY	4,065,977.07	RECE	DVP	900546	11	000016	000324024102231	—	—	—	Settled
SSTI	CNE100000000	2.102	CNY	4,065,977.07	RECE	DVP	200001	900113	000016	0000000056341182	—	—	—	Settled
SSTI	CNE100000000	2.102	CNY	4,065,977.07	RECE	DVP	200001	900113	000016	0000000056341181	—	—	—	Settled

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100000000	Depository SIC	XIHCNHR1000X	Trade Date	2021-06-05
Local Code	93986	Quantity	2.102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING).INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.56
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	4065977.07	FX Cancellation	
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS	
EP SIC	ETCCBELL00X
EP Name	SynComp531
EP's Account at CP	200001
CP SIC	DTCCGDA00X
CP Name	SynComp541
CP's Account at CCASS	900113
Counterparty - AM (SIC Name: LEI)	
Counterparty - LC CCASS ID	C30016
LC's Account at CCASS	
GC's account at LC	140302

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

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100000000	Depository SIC	XIHCNHR1000X	Trade Date	2021-06-05
Local Code	93986	Quantity	2.102	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING).INC	Settlement Date	2021-06-06	Payment	DVP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,065,977.07	Deal Price	44.56
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	4065977.07	FX Cancellation	
		Real-Time Settlement Indicator	False		

PARTICIPANT DETAILS	
EP SIC	ETCCBELL00X
EP Name	SynComp531
EP's Account at CP	200001
CP SIC	DTCCGDA00X
CP Name	SynComp541
CP's Account at CCASS	900113
Counterparty - AM (SIC Name: LEI)	
Counterparty - LC CCASS ID	C30016
LC's Account at CCASS	
GC's account at LC	140302

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

Approval by CP Transaction Balance Input Authorise User:

- The CP Transaction Balance Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

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

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

HKEX Synapse

The Power of Connectivity

12 April 2023

@ synapse3

synapse3

Back

Settlement Instruction Details

Trade ID: 000000056341183

Request

Approve

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

FINANCIAL INSTRUMENT DETAILS

SETTLEMENT DETAILS

TRADE DETAILS

ISIN

0917001003

Depository BIC

0917001003

Trade Date

2021-04-05

Local Code

0308

Quantity

2.102

Type

BBSF

Name

GIGADEVICE SEMICONDUCTOR(BEIJING) INC

Settlement Date

2021-04-05

Payment

DVP

Settlement Currency

CNY

Deal Price Currency

CNY

Settlement Amount

4,085,977.27

Deal Price

44.80

Effective Settlement Date

Currency To Buy

Settled Currency

CNY

Currency To Sell

USD

Settled Amount

4,085,977.27

FX Cancellation

Real-Time Settlement Indicator

False

PARTICIPANT DETAILS

EP BIC

DTCCBELL333

EP Name

SynCorp531

EP's Account at CP

2000011

CP BIC

DTCCBELL333

CP Name

SynCorp531

CP's Account at CCASS

900113

Counterparty - AM (BIC Name: L3)

Counterparty - LC CCASS ID

C00016

LC's Account at CCASS

1

GC's account at LC

140002

HKEX Synapse

The Power of Connectivity

12 April 2021

@ synapse3 synapse3

Back

Settlement Instruction Details

Trade ID: 000000056341183

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

Successfully Approved

SI STATUS

CP MAKERS: ✓ APPROVED

Reason:

NA

CP CHECKERS: ✓ APPROVED

Reason:

NA

GC APPROVED: -

Reason:

NA

LC APPROVED: -

Reason:

NA

CCASS STATUS:

Reason:

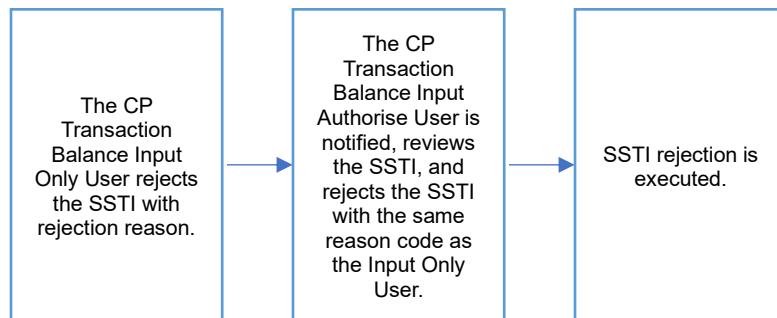
NA

CANCELLATION STATUS:

Reason:

NA

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



Rejection by CP Transaction Balance Input Only User:

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

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Back Settlement Instruction Details Trade ID: 000000056341104

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

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE1000010109	Depository BIC	33RCHN01XXXX	Trade Date	2023-04-05
Local Code	93906	Quantity	2.102	Type	RECE
Name	GRADIENTE SEMICONDUCTOR(BELIUM) NV	Settlement Date	2023-04-05	Payment	DUP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,965,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	400,5877.87	FX Cancellation	
		Real Time Settlement Indicator	False		

PARTICIPANT DETAILS

EP BIC	DTCCBELLXXX
EP Name	SynCamp031
EP's Account at CP	2009001
CP BIC	DTCCGASGXXX
CP Name	SynCamp041
CP's Account at CCASS	900113
Counterparty - AM (BIC Name: LFI)	
Counterparty - LC CCASS ID	C00016
LC's Account at CCASS	
GC's account at LC	140002

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

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Back Settlement Instruction Details Trade ID: 000000056341104

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

FINANCIAL INSTRUMENT DETAILS SETTLEMENT DETAILS TRADE DETAILS

FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CHE1000010109	Depository BIC	33RCHN01XXXX	Trade Date	2023-04-05
Local Code	93906	Quantity	2.102	Type	RECE
Name	GRADIENTE SEMICONDUCTOR(BELIUM) NV	Settlement Date	2023-04-05	Payment	DUP
		Settlement Currency	CNY	Deal Price Currency	CNY
		Settlement Amount	4,965,977.07	Deal Price	44.06
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	USD
		Settled Amount	400,5877.87	FX Cancellation	
		Real Time Settlement Indicator	False		

PARTICIPANT DETAILS

EP BIC	DTCCBELLXXX
EP Name	SynCamp031
EP's Account at CP	2009001
CP BIC	DTCCGASGXXX
CP Name	SynCamp041
CP's Account at CCASS	900113
Counterparty - AM (BIC Name: LFI)	
Counterparty - LC CCASS ID	C00016
LC's Account at CCASS	
GC's account at LC	140002

REJECTION CODE:

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

Invalid Investor Party (INV4)

Cancel Submit

HKEX Synapse
The Power of Connectivity

12 April 2023 © synus201 synus201

Back Settlement Instruction Details Trade ID: 000000056341104

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

SI STATUS

CP MAKER: X REJECTED	CP CHECKER: --	GC APPROVED: --	LC APPROVED: --	CCASS STATUS:	CANCELLATION STATUS:
Reason: Invalid Investor Party (INV4)	Reason: NA	Reason: NA	Reason: NA	Reason: NA	Reason: NA

Rejection by CP Transaction Balance Input Authorise User:

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

INO TYPE	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	EP'S ACCOUNT AT CP	CP'S ACCOUNT AT CCASS	LC CCASS ID	TRADE ID	CP	GC	LC	STATUS
STI	CNE100000039	22,312	CNY	4,065,977.97	RECE	DVP	900546	11	B11110	685324024102231	—	—	—	DETAILS
SI	CNE100000039	2,231	CNY	4,065,977.97	RECE	DVP	900546	11	C00016	685324024102231	—	—	—	DETAILS
STI	CNE100000039	2,192	CNY	4,065,977.97	RECE	DVP	2000001	900113	C00016	685324024102231	—	—	—	DETAILS
STI	CNE100000039	2,192	CNY	4,065,977.97	RECE	DVP	2000001	900113	C00016	685324024102231	—	—	—	DETAILS
STI	CNE100000039	29,827	CNY	4,065,977.97	RECE	DVP	900546	11	B11110	685324024102231	—	—	—	DETAILS
STI	CNE100000039	29,827	CNY	4,065,977.97	RECE	DVP	900546	11	B11110	685324024102231	—	—	—	DETAILS
STI	CNE100000039	12,310	CNY	4,065,977.97	RECE	DVP	900546	11	B11110	685324024102231	—	—	—	DETAILS
SI	CNE100000039	29,828	CNY	4,065,977.97	RECE	DVP	900546	11	C00016	685324024102231	—	—	—	DETAILS
SI	CNE100000039	29,828	CNY	4,065,977.97	RECE	DVP	900546	11	C00016	685324024102231	—	—	—	DETAILS
STI	CNE100000039	29,827	CNY	4,065,977.97	RECE	DVP	900546	11	B11110	685324024102231	—	—	—	DETAILS
STI	CNE100000039	29,827	CNY	4,065,977.97	RECE	DVP	900546	11	B11110	685324024102231	—	—	—	DETAILS
STI	CNE100000039	22,312	CNY	4,065,977.97	RECE	DVP	900546	11	B11110	685324024102231	—	—	—	DETAILS
STI	CNE100000039	2,231	CNY	4,065,977.97	RECE	DVP	900546	11	C00016	685324024102231	—	—	—	DETAILS
STI	CNE100000039	2,192	CNY	4,065,977.97	RECE	DVP	2000001	900113	C00016	685324024102231	—	—	—	DETAILS
STI	CNE100000039	2,192	CNY	4,065,977.97	RECE	DVP	2000001	900113	C00016	685324024102231	—	—	—	DETAILS

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

REJECTION CODE:

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

Invalid Investor Party (INV)

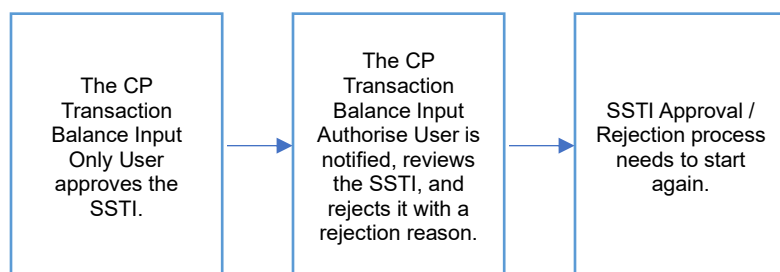
Cancel Submit

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

SI STATUS	CP CHECKER	GC APPROVED	LC APPROVED	CCASS STATUS	CANCELLATION STATUS
CP CHECKER: X REJECTED Reason: Invalid Investor Party (INV)	CP CHECKER: X REJECTED Reason: Invalid Investor Party (INV)	GC APPROVED: — Reason: NA	LC APPROVED: — Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

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

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

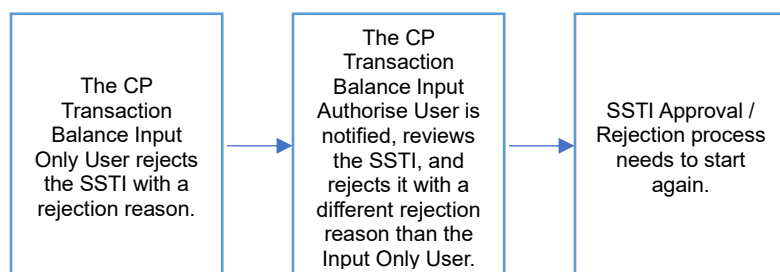


1. Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
2. CP Transaction Balance Input Only User can see the Approval is rejected by CP Transaction Balance Input Authorise Users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

HKEX Synapse The Power of Connectivity					
Key Settlement Details Trade ID: 0000000056341152					
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE		
Rejected to Maker					
SI STATUS					
CP MAKER: PENDING AMENDMENT Reason: NA	CP CHECKER: REJECTED TO MAKER Reason: NA	GC APPROVED: -- Reason: NA	LC APPROVED: REJECTED Reason: Invalid LHM (BOL)	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

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

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

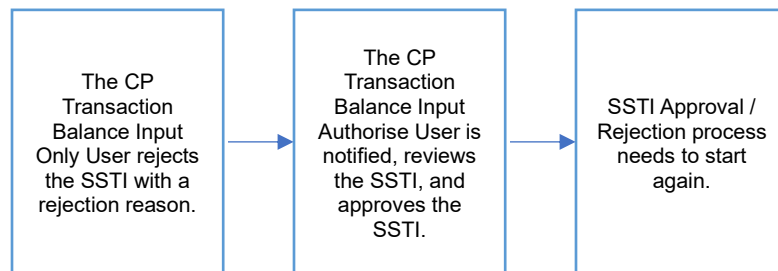


1. Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input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

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<div> <div>Back</div> <div>Settlement Instruction Details Trade ID: 0000000056341152</div> </div>					
<div> <div>KEY SETTLEMENT DETAILS</div> <div>SETTLEMENT STATUS</div> <div>SI HEALTH CHECK</div> <div>TRANSACTION REFERENCES AND LIFECYCLE</div> </div>					
<div> <div>Rejected to Maker</div> </div>					
<div>SI STATUS</div>					
<div> <div>CP MAKER: PENDING AMENDMENT</div> <div>Reason: NA</div> </div>		<div> <div>CP CHECKER: REJECTED TO MAKER</div> <div>Reason: NA</div> </div>		<div> <div>GC APPROVED: -</div> <div>Reason: NA</div> </div>	
		<div> <div>LC APPROVED: - REJECTED</div> <div>Reason: Invalid Link (INVL)</div> </div>		<div> <div>CCASS STATUS:</div> <div>Reason: NA</div> </div>	
				<div> <div>CANCELLATION STATUS:</div> <div>Reason: NA</div> </div>	

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

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



- Since the decisions between the CP Transaction Balance Input Only and the CP Transaction Balance Input Authorise Users are different, the process will effectively start over.
- CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.
- On SI List View, the icon will change from 'O' to '-' under CP column as the process needs to start again from CP Transaction Balance Input Only User. The CP Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

7.5 Settlement Status

The Settlement Status tab within the Settlement Instruction Details View shows the status of where the instruction is across the various market participants.

7.5.1 Buy Side

7.5.1.1 Asset Managers (AM)

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Home

Settlement Instruction Details Trade ID: 2231954155771021

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

GC APPROVED: ✓ APPROVED

Reason:

NA

LC APPROVED: ✓ APPROVED

Reason:

NA

CP APPROVED: ✓ APPROVED

Reason:

NA

CCASS STATUS: SETTLED

Reason:

NA

CANCELLATION STATUS:

Reason:

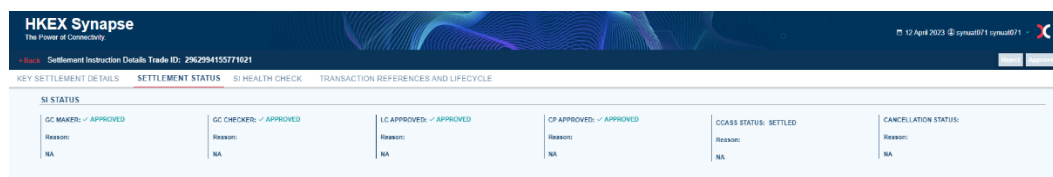
NA

Settlement Status Indicator

Field	Description
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI - MTCH – matched - CYCL – matched – payment validated - CAIS – pending for transfer - CVAL – matched – RDP shares on hold - PREA – matched – matched on hold or counterparty instruction on hold - NCRR – unmatched – settlement currency unmatched - DSEC – unmatched – stock code/ISIN unmatched - DQUA – unmatched – quantity unmatched - CMIS – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatched - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatched - DMON – unmatched – money value unmatched - DDAT – unmatched – settlement date unmatched - DELN – unmatched – transaction direction unmatched - SETD – Settled
Reason	Indicated reason for CCASS unmatched status: - NCRR – settlement currency unmatched + description - DSEC – stock code/ISIN unmatched + description - DQUA – quantity unmatched + description - CMIS – no possible matching SI found + description - OTHR – other + description - FRAP – payment instruction unmatched + description - PODU – possible matching SI but not earmarked as pairs + description - SAFE – client A/C no. unmatched + description - DMON – money value unmatched + description

Field	Description
	<ul style="list-style-type: none"> - DDAT – settlement date unmatched + description - DELN – transaction direction unmatched + description <p>Note: “Description” next to unmatched status refers to the value provided by counterparty.</p>
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

7.5.1.2 Global Custodian (GC)



Settlement Status Indicator

Field	Description
GC Maker	Indication that GC Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by GC Transaction Balance Input Only User
Reason	Reason for GC rejection input by GC Transaction Balance Input Only User
GC Checker	Indication that GC Transaction Balance Input Authorise User has approved or rejected the instruction or the instruction is rejected back to GC Transaction Balance Input Only User for amendment
Reason	Reason for GC rejection input by GC Transaction Balance Input Authorise User
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	<p>Indicated reason for CCASS status:</p> <ul style="list-style-type: none"> - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI - MTCH – matched - CYCL – matched – payment validated - CAIS – pending for transfer - CVAL – matched – RDP shares on hold - PREA – matched – matched on hold or counterparty instruction on hold - NCRR – unmatched – settlement currency unmatched - DSEC – unmatched – stock code/ISIN unmatched - DQUA – unmatched – quantity unmatched - CMIS – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatched - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatched - DMON – unmatched – money value unmatched

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

7.5.1.3 Local Custodian (LC)

Settlement Status Indicator

Field	Description
LC Maker	Indication that LC Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by LC Transaction Balance Input Only User
Reason	Reason for GC rejection input by LC Transaction Balance Input Only User
LC Checker	Indication that LC Transaction Balance Input Authorise User has approved or rejected the instruction or the instruction is rejected back to LC Transaction Balance Input Only User for amendment
Reason	Reason for LC rejection input by LC Transaction Balance Input Authorise User
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
CP	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	<p>Indicated reason for CCASS status:</p> <ul style="list-style-type: none"> - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI

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

7.5.2 Sell Side

7.5.2.1 Exchange Participant (EP)

HKEX Synapse <small>The Power of Connectivity</small>				
<small>100% Settlement Instruction Details Trade ID: 6855324604162231</small>				
<small>KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE</small>				
SI STATUS				
CP APPROVED: ✓ APPROVED Reason: NA	GC APPROVED: ✓ APPROVED Reason: NA	LC APPROVED: ✓ APPROVED Reason: NA	CCASS STATUS: SETTLED Reason: NA	CANCELLATION STATUS: Reason: NA

Settlement Status Indicator

Field	Description
CP	Indication that CP has approved or rejected the instruction

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

7.5.2.2 Clearing Participant (CP)

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Back

Settlement Instruction Details Trade ID: 685324604102231

KEY SETTLEMENT DETAILS

SETTLEMENT STATUS

SI HEALTH CHECK

TRANSACTION REFERENCES AND LIFECYCLE

SI STATUS

CP MAKER: ✓ APPROVED

Reason: NA

CP CHECKER: ✓ APPROVED

Reason: NA

GC APPROVED: ✓ APPROVED

Reason: NA

LC APPROVED: ✓ APPROVED

Reason: NA

CCASS STATUS: SETTLED

Reason: NA

CANCELLATION STATUS:

Reason: NA

Settlement Status Indicator

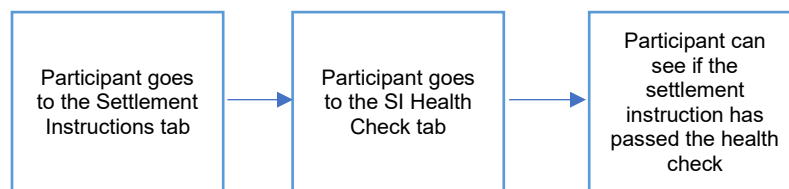
Field	Description
CP Maker	Indication that CP Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by CP Transaction Balance Input Only User
Reason	Reason for CP rejection input by CP Transaction Balance Input Only User
CP Checker	Indication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

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

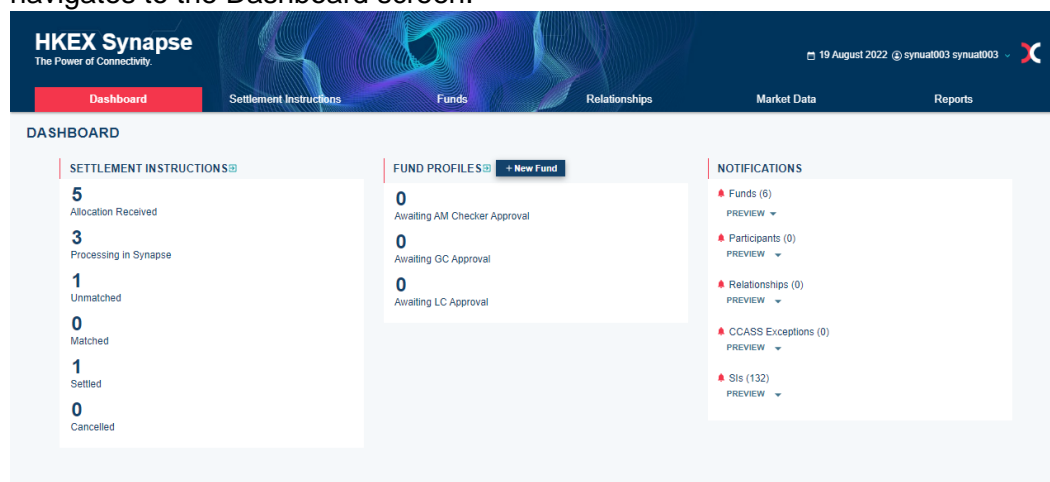
7.6 Health Check

Health Check is an additional business validation of settlement instructions that Synapse performs after receiving the settlement instruction (e.g., SI, STI, and SSTI) from DTCC. If the business validation results in non-fatal error(s), then Health Check will display the failure reason, but settlement instruction processing can still continue.

Health Check functionality is the same for both buy side and sell side participants. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from buy side participants.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.



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

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

Settlement Instructions

SETTLEMENT INSTRUCTIONS 10 6 0 7 7
Processing Unmatched Matched Settled Cancelled

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INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP INC	TRADE ID	GC	LC	CP	STATUS
STI	802291	CNE100000309	22.312	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	223104155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	2.231	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	223104155771021	✓	✓	✓	Settled
STI	111444	CNE100000309	2.102	CNY	4,005,977.97	DELI	DVP	140001	000000007519085	202108051070012	✓	✓	✓	Settled
SI	802291	CNE100000309	26.426	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
STI	802794	CNE100000309	82.358	CNY	4,005,977.97	DELI	DVP	542794	2034100018170872	2119964155771021	✓	✓	✓	Settled
STI	802291	CNE100000309	26.827	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2062094155771021	✓	✓	✓	Settled
STI	502794	CNE100000309	82.280	CNY	4,005,977.97	DELI	DVP	542794	2034100018170872	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.422	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.426	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2062094155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.823	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.823	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.824	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.824	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.821	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.822	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.824	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.823	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	26.826	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
STI	802794	CNE100000309	79.877	CNY	4,005,977.97	DELI	DVP	542794	DTCCSELLXXX	2062094155771021	✓	✓	✓	Settled
STI	802291	CNE100000309	26.827	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2062094155771021	✓	✓	✓	Settled
STI	802291	CNE100000309	22.312	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	223104155771021	✓	✓	✓	Settled
STI	802291	CNE100000309	26.822	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	2119964155771021	✓	✓	✓	Settled
SI	802291	CNE100000309	2.231	CNY	4,005,977.97	DELI	DVP	542291	DTCCSELLXXX	223104155771021	✓	✓	✓	Settled
SI	502775	CNE100000309	2.775	CNY	4,005,977.97	DELI	DVP	543000	DTCCSELLXXX	3008094155771021	✓	✓	✓	Settled
STI	111444	CNE100000309	2.102	CNY	4,005,977.97	DELI	DVP	140001	000000007519085	202108051070012	✓	✓	✓	Settled
SI	500600	CNE100000309	2.766	CNY	4,005,977.97	DELI	DVP	00000007	00000000470803	202108051070012	✓	✓	✓	Settled
STI	111444	CNE100000309	2.102	CNY	4,005,977.97	DELI	DVP	140001	DTCCSELLXXX	000000007519082	✓	✓	✓	Settled

- The display table will show if the settlement instruction passed or failed the health check.
 - (i) For AM
If the settlement instruction passes the health check, then the AM participant will see “Health Check Passed”.

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Back Settlement Instruction Details Trade ID: 3008994155771021

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

SI HEALTH CHECK:			
CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE
✓ ISIN	Health Check Passed	—	—
✓ Settlement Date	Health Check Passed	—	—
✓ Counterparty ID	Health Check Passed	—	—

- (ii) For GC and LC
Health check provides additional business validation on EP's account at CP. If the settlement instruction passes this health check, then the GC and LC participant will see “Health Check Passed”.

HKEX Synapse
The Power of Connectivity

12 April 2023 @ synap001 synap001

Back Settlement Instruction Details Trade ID: 6174230310120001

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

SI HEALTH CHECK:			
CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE
✓ ISIN	Health Check Passed	—	—
✓ Settlement Date	Health Check Passed	—	—
✓ Counterparty ID	Health Check Passed	—	—
✓ EP's account at CP	Health Check Passed	—	—

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

HKEX Synapse
The Power of Connectivity

12 April 2023 @ synap001 synap001

Back Settlement Instruction Details Trade ID: 223104155771021

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

SI HEALTH CHECK:			
CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE
✗ ISIN	Health Check Failed	0000000000	0000000000
✗ Settlement Date	Settlement Date Invalid	2021-06-05	—
✗ Counterparty ID	Potential Counterparty Mismatched	C00010	000100

- (ii) For GC and LC

Health check provides additional business validation on EP's account at CP. If the settlement instruction fails this health check, then the GC and LC participant will see "EP's account at CP is empty".

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

Field Name	Failure Reason Example
ISIN	ISIN started with CN but the rest of the ISIN cannot be recognized by CCASS
Settlement Date	Settlement Date of the SN is < admission date of the ISIN or >= delisted date of the ISIN
Counterparty	<p>It is only applicable when both buy and sell sides are onboarded to Synapse. I.e. when Synapse receives a pair of SN from buy side and sell side, which are joined by the same UTI. The purpose of this counterparty ID health check is to provide an early alert to Synapse users that such pair of settlement instruction may not be possible to match in CCASS. Using below as an example to illustrate the scenario that will trigger the health check warning message "Potential Counterparty Misaligned":</p> <p>Setup for this pair of SN joint by the same UTI Synapse LC user's CCASS Participant ID = C00040 Synapse CP user's CCSAS Participant ID = C00016</p> <p>Submitted value quoted on the buy side SN in the REAG/DEAG block = C55555 The CCASS participant ID of the relevant Clearing Participant (CP) of the sell side SN jointed by the same UTI = C00016</p> <p>Under this scenario, by referring to the account stated on the sell side SN joined by the same UTI, the buy side should be facing C00016 as the Clearing Participant (CP) for this particular pair of settlement instruction. However, in the buy side SN REAG/DEAG block, it is quoted as facing C55555 as counterparty at CCASS level. In this situation, health check warning message will be triggered.</p>
EP's account at CP	<p>It is only applicable to buy-side instruction when investment manager counterparty data (i.e., EP's Account at CP) is not present in the SN.</p> <p>Under this scenario, Synapse will still create the SI with empty client account number or processing reference sending to CCASS for matching and settlement processing. These 2 CCASS fields in C3T will be shown as below in C3T:</p> <ul style="list-style-type: none"> Client Account Number: "" OR Processing Reference: ""SYN- <p>The LC could update the "Client Account Number" and "Processing Reference" in C3T if needed. It is recommended to input these missing fields for operational efficiency.</p>

Field Name	Failure Reason Example
	<p>Before matching Northbound Stock Connect transactions with an EP/broker for the first time, investment managers should ensure with their EP/broker that the EP/broker maintains correct and up to date Standing Settlement Instruction (SSI) data in DTCC systems. Having correct EP/broker SSI maintained in DTCC systems is precondition for a smooth and efficient settlement experience in Synapse and CCASS. Investment Managers facing EP/broker who are not sure on whether their SSI data is setup correctly, should ask their EP/broker to contact DTCC to investigate.</p>

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

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

Transaction References

Transaction Lifecycle

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

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

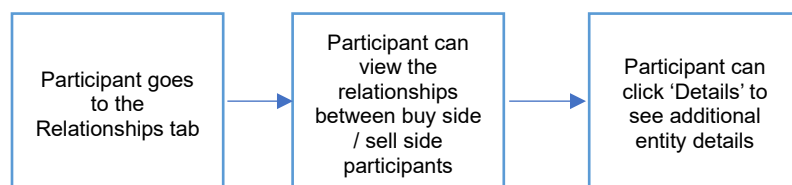
193

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

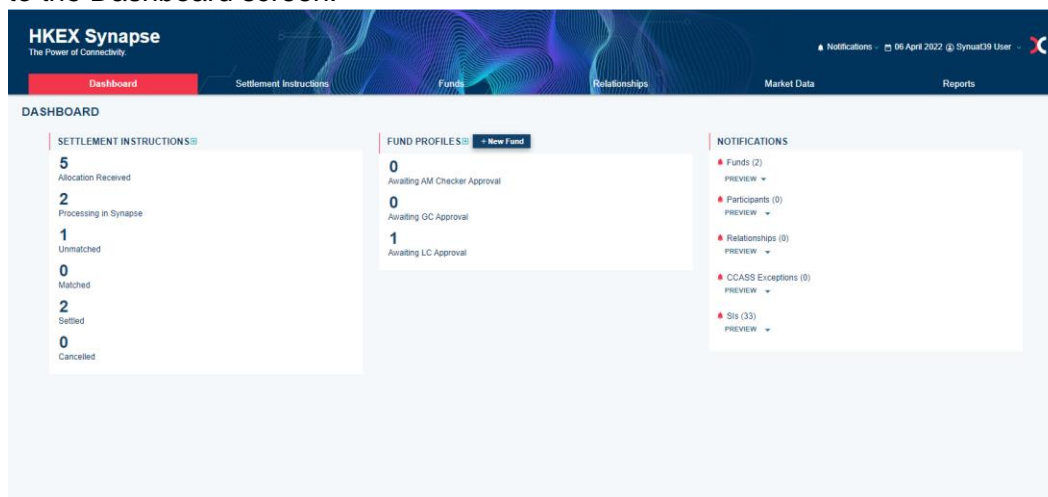
8. Relationships

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

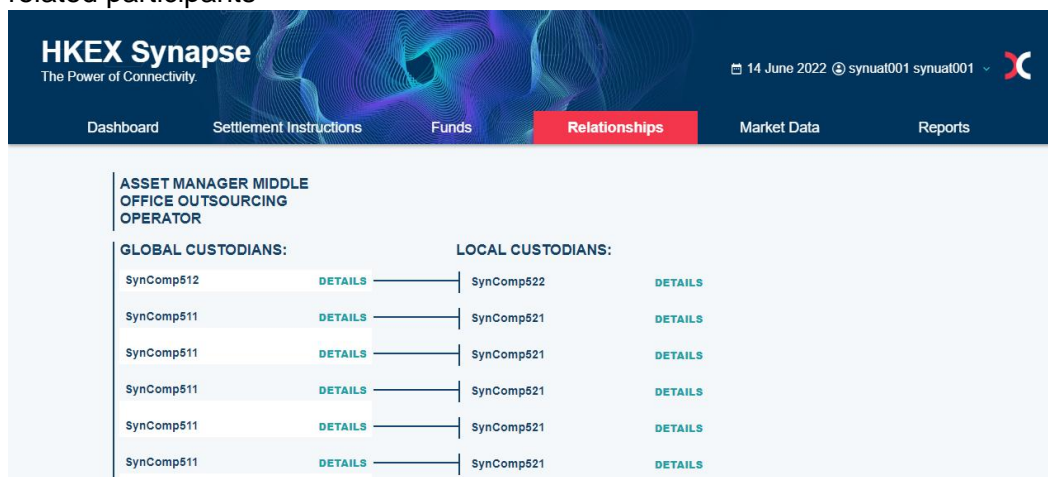
Participants can see how they relate to one another and view additional entity details. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.



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



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

HKEX Synapse
The Power of Connectivity.

13 June 2023 synuat003 synuat003

Back Entity Details: SynComp521

ENTITY DETAILS

Name :	SynComp521
Role Type :	Local Custodian
LEI :	621344ABC32JRTFGR421
BIC :	JMPPMU55XXX
DN :	cn=invfunds,ou=80a,o=creschzz

Field Name	Description
Name	The Legal Entity name of the entity
Role Type	Role of the entity
LEI	Legal Entity Identifier for the entity
BIC	Depository Business Identification Code
DN	Distinguished Name Code for the entity

Below are the relationship screens for each participant type.

8.1 Buy Side

Asset Manager (AM) – who does not appoint AMOO

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

HKEX Synapse
The Power of Connectivity.

14 June 2022 synuat001 synuat001

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

ASSET MANAGER MIDDLE OFFICE OUTSOURCING OPERATOR

GLOBAL CUSTODIANS:		LOCAL CUSTODIANS:	
SynComp512	DETAILS	SynComp522	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS
SynComp511	DETAILS	SynComp521	DETAILS

Asset Manager (AM) – who appoints AMOO

On the Relationships tab, the AM participant can view the relationships between buy side participants, e.g., GC, LC, and AMOO if an AMOO has been appointed by the AM.

The screenshot shows the HKEX Synapse interface with the 'Relationships' tab selected. The header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '15 June 2022', and the user 'synuat011 synuat011'. The navigation bar contains 'Dashboard', 'Settlement Instructions', 'Funds', 'Relationships' (highlighted), 'Market Data', and 'Reports'.

The main content area displays the 'ASSET MANAGER MIDDLE OFFICE OUTSOURCING OPERATOR' section for 'SynComp556'. Below this, there are two columns: 'GLOBAL CUSTODIANS' and 'LOCAL CUSTODIANS'. Each column lists participants with a 'DETAILS' link. Lines connect the AMOO to the custodians.

GLOBAL CUSTODIANS:	LOCAL CUSTODIANS:
SynComp511	SynComp521
SynComp511	SynComp522
SynComp511	SynComp521
SynComp511	SynComp522
SynComp511	SynComp521
SynComp511	SynComp521

Asset Manager Middle Office Outsourcing Operator (AMOO)

If the AMOO is being has appointed by multiple AM, then the AMOO can choose which AM to act as and sees the same as what the relevant AM would see.

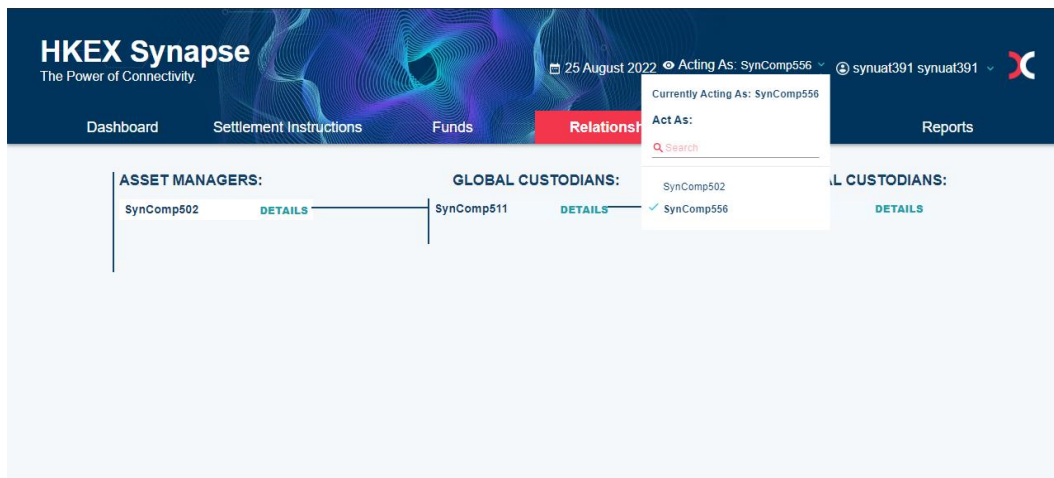
The AMOO can click the participant dropdown in the top right corner and then click “Act as Different Identity” to change which AM they act as. They can choose to act as any AM that has appointed them or as themselves as AMOO.

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

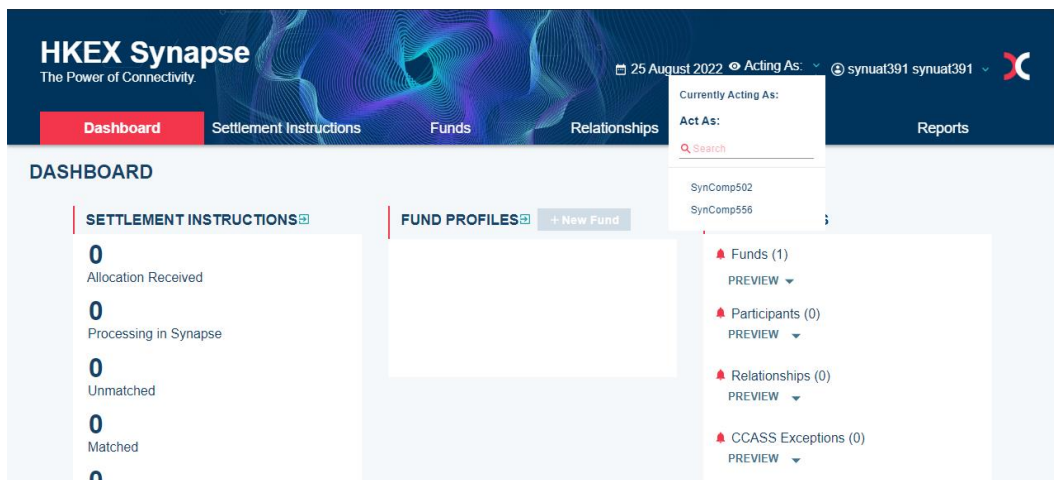
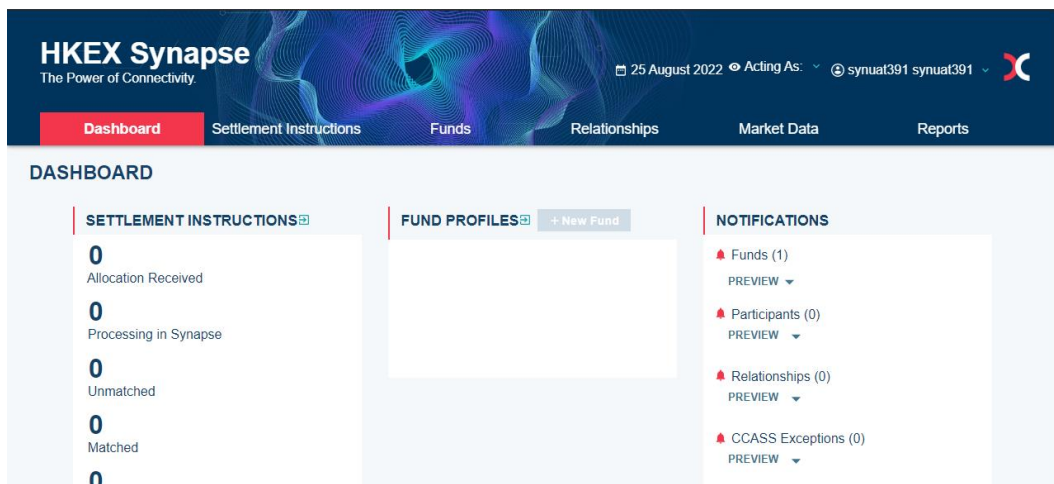
The screenshot shows the HKEX Synapse interface with the 'Relationships' tab selected. The header includes the HKEX Synapse logo, the tagline 'The Power of Connectivity', the date '25 August 2022', and the user 'synuat391 synuat391'. The navigation bar contains 'Dashboard', 'Settlement Instructions', 'Funds', 'Relationships' (highlighted), 'Market Data', and 'Reports'.

The main content area displays the 'ASSET MANAGERS', 'GLOBAL CUSTODIANS', and 'LOCAL CUSTODIANS' sections. A dropdown menu is open in the top right corner, showing the 'Organization: SynComp556' and 'Acting As' options. The dropdown menu lists 'Identity: AM Outsourcing Operator' and 'Function 1: Data Manager' with 'Role Type: Input-Only'. It also lists 'Function 2: SYN User' with 'Role Type: Input-Only'. A 'Logout' button is at the bottom of the dropdown.

ASSET MANAGERS:	GLOBAL CUSTODIANS:	LOCAL CUSTODIANS:
SynComp502	SynComp511	SynComp521



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



HKEX Synapse
The Power of Connectivity.

25 August 2022 Acting As: SynComp502 synuat391 synuat391

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

ASSET MANAGER MIDDLE OFFICE OUTSOURCING OPERATOR
SynComp556 [DETAILS](#)

ASSET MANAGERS: SynComp502 [DETAILS](#)

GLOBAL CUSTODIANS: SynComp511 [DETAILS](#)

LOCAL CUSTODIANS: SynComp521 [DETAILS](#)

Global Custodian (GC)

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

HKEX Synapse
The Power of Connectivity.

14 June 2022 synuat071 synuat071

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

ASSET MANAGERS:	LOCAL CUSTODIANS:
SynComp502 DETAILS	SynComp521 DETAILS
SynComp501 DETAILS	SynComp521 DETAILS
SynComp501 DETAILS	SynComp521 DETAILS
SynComp501 DETAILS	SynComp521 DETAILS
SynComp502 DETAILS	SynComp521 DETAILS
SynComp501 DETAILS	SynComp521 DETAILS
SynComp502 DETAILS	SynComp522 DETAILS
SynComp501 DETAILS	SynComp521 DETAILS

Local Custodian (LC)

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

HKEX Synapse
The Power of Connectivity

14 June 2022 @ synuat141 synuat141

Dashboard
Settlement Instructions
Funds
Relationships
Market Data
Reports

ASSET MANAGERS:

SynComp501	DETAILS
SynComp501	DETAILS
SynComp501	DETAILS
SynComp501	DETAILS
SynComp501	DETAILS
SynComp501	DETAILS
SynComp501	DETAILS
SynComp501	DETAILS

GLOBAL CUSTODIANS:

SynComp511	DETAILS
SynComp511	DETAILS
SynComp511	DETAILS
SynComp511	DETAILS
SynComp511	DETAILS
SynComp511	DETAILS
SynComp511	DETAILS
SynComp511	DETAILS

8.2 Sell Side

Exchange Participant (EP) – who does not appoint EPOO

On the Relationships tab, the EP participant can view the relationships between sell side participants, e.g., CP and EP

HKEX Synapse
The Power of Connectivity

15 June 2022 @ synuat214 synuat214

Dashboard
Settlement Instructions
Accounts
Relationships
Market Data

**EXCHANGE PARTICIPANT
MIDDLE OFFICE
OUTSOURCING OPERATOR**

EXCHANGE PARTICIPANTS:

SynComp531	DETAILS
SynComp531	DETAILS
SynComp531	DETAILS

CLEARING PARTICIPANTS:

SynComp541	DETAILS
SynComp179	DETAILS
SynComp333	DETAILS

Organization: SynComp531

ACTING AS:

Identity: Exchange Participant

Function 1: Transaction-Balances
☒ Role Type: Input-Authorize

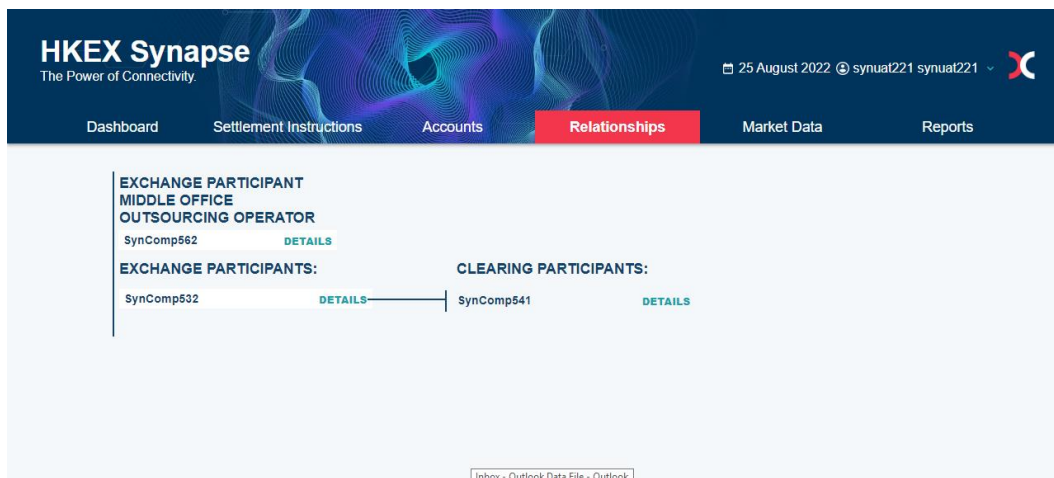
Function 2: SYN User
☒ Role Type: Input-Authorize

Function 3: Data Manager
☒ Role Type: Input-Authorize

Logout

Exchange Participant (EP) – who appoints EPOO

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

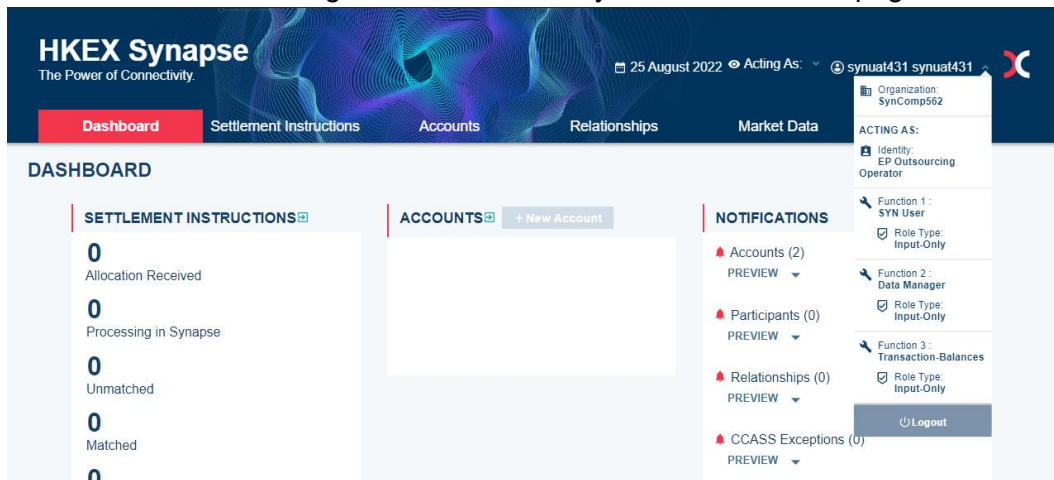


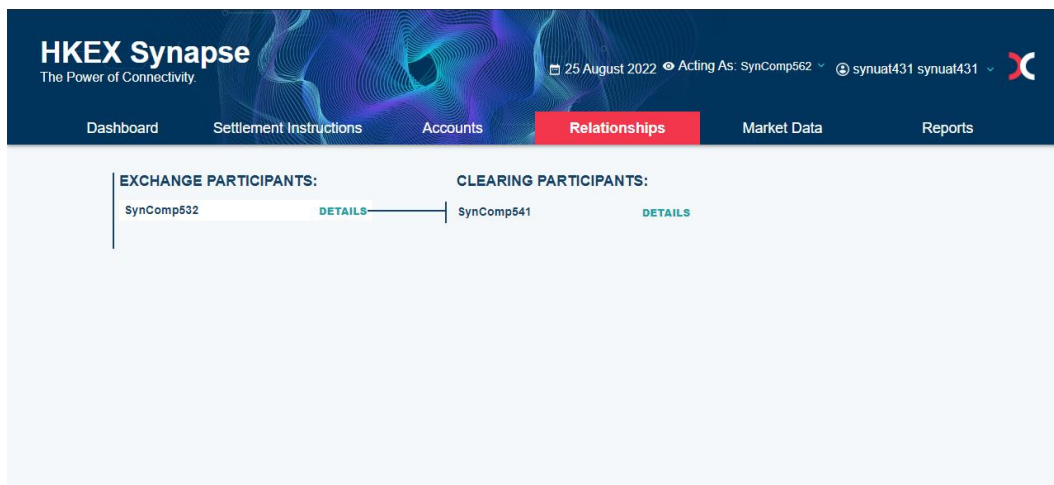
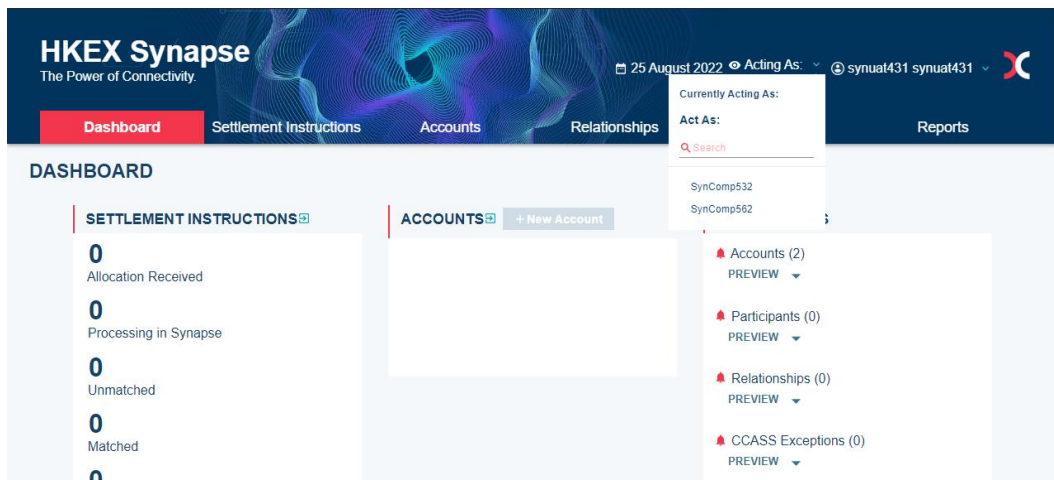
Exchange Participant Middle Office Outsourcing Operator (EPOO)

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

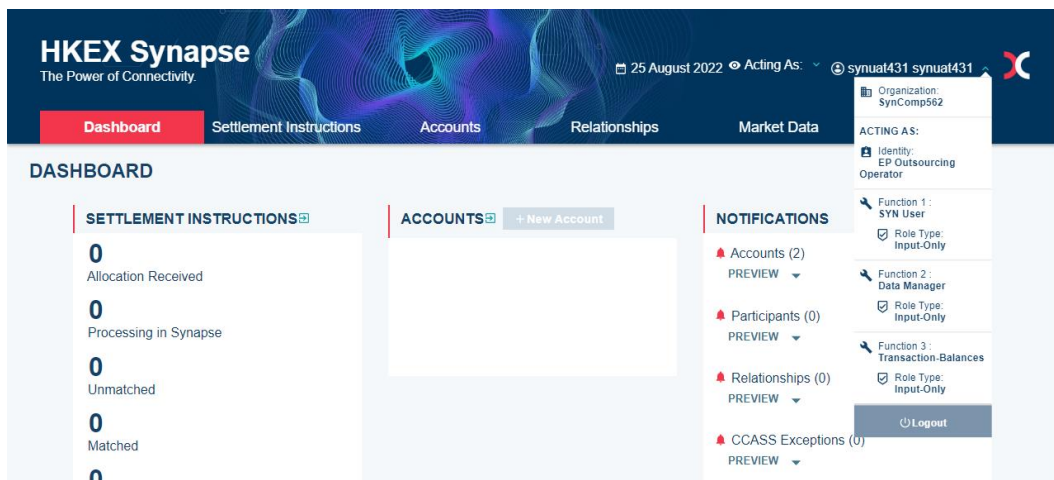
The EPOO can click the participant dropdown in the top right corner and then click “Act as Different Identity” to change which EP they act as. They can choose to act as any EP that has appointed them or as themselves as EPOO.

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





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



HKEX Synapse

The Power of Connectivity

25 August 2022

Acting As: synuat431 synuat431

Currently Acting As:

Act As:

Search

SynComp532

SynComp562

Dashboard

Settlement Instructions

Accounts

Relationships

Reports

DASHBOARD

SETTLEMENT INSTRUCTIONS

0

Allocation Received

0

Processing in Synapse

0

Unmatched

0

Matched

0

ACCOUNTS

+ New Account

Accounts (2)

PREVIEW

Participants (0)

PREVIEW

Relationships (0)

PREVIEW

CCASS Exceptions (0)

PREVIEW

HKEX Synapse

The Power of Connectivity

25 August 2022

Acting As: SynComp532

synuat431 synuat431

Currently Acting As:

Act As:

Search

SynComp532

SynComp562

Dashboard

Settlement Instructions

Accounts

Relationships

Market Data

Reports

EXCHANGE PARTICIPANT

MIDDLE OFFICE

OUTSOURCING OPERATOR

SynComp562

DETAILS

EXCHANGE PARTICIPANTS:

SynComp532

DETAILS

CLEARING PARTICIPANTS:

SynComp541

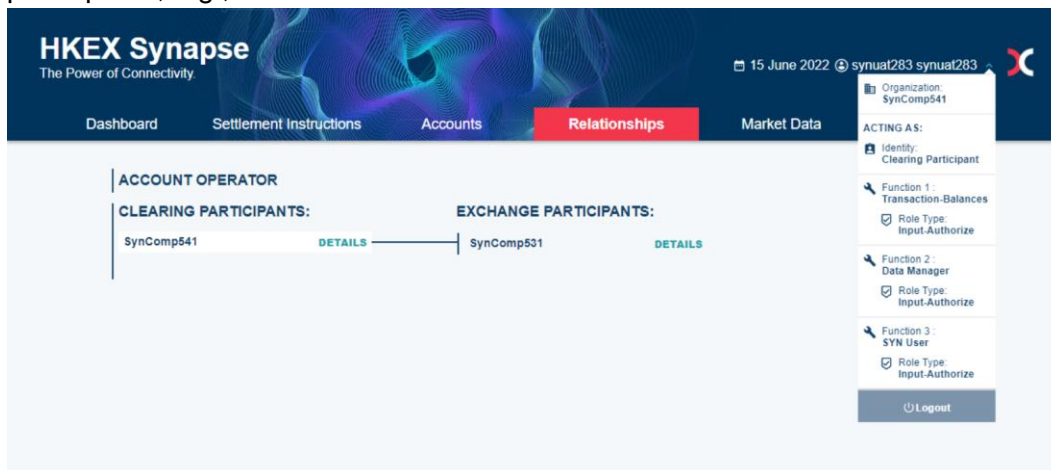
DETAILS

203

Classification – Internal

Clearing Participant (CP) – who does not appoint AO

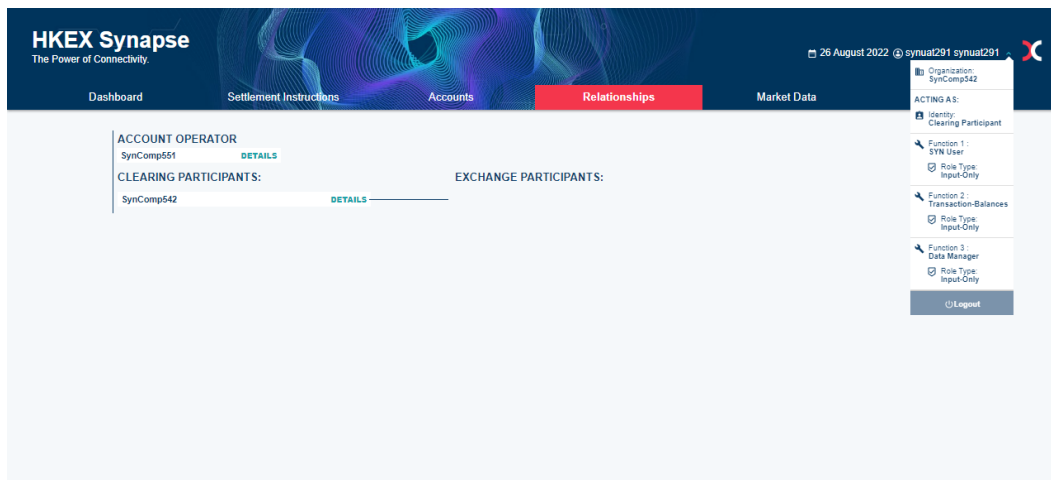
On the Relationships tab, the CP participant can view the relationships between sell side participants, e.g., EP and CP.



The screenshot shows the HKEX Synapse interface with the 'Relationships' tab selected. The header includes the HKEX Synapse logo, navigation tabs (Dashboard, Settlement Instructions, Accounts, Relationships, Market Data), and a user profile dropdown for 'synuat283 synuat283' dated '15 June 2022'. The main content area displays 'ACCOUNT OPERATOR' as 'SynComp541' with a 'DETAILS' link. Below this, 'CLEARING PARTICIPANTS:' lists 'SynComp541' with a 'DETAILS' link, and 'EXCHANGE PARTICIPANTS:' lists 'SynComp531' with a 'DETAILS' link. The user profile dropdown on the right shows 'Organization: SynComp541' and 'ACTING AS: Identity: Clearing Participant'. It also lists three functions: 'Function 1: Transaction-Balances' (Role Type: Input-Authorize), 'Function 2: Data Manager' (Role Type: Input-Authorize), and 'Function 3: SYN User' (Role Type: Input-Authorize). A 'Logout' button is at the bottom of the dropdown.

Clearing Participant (CP) – who appoints AO

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

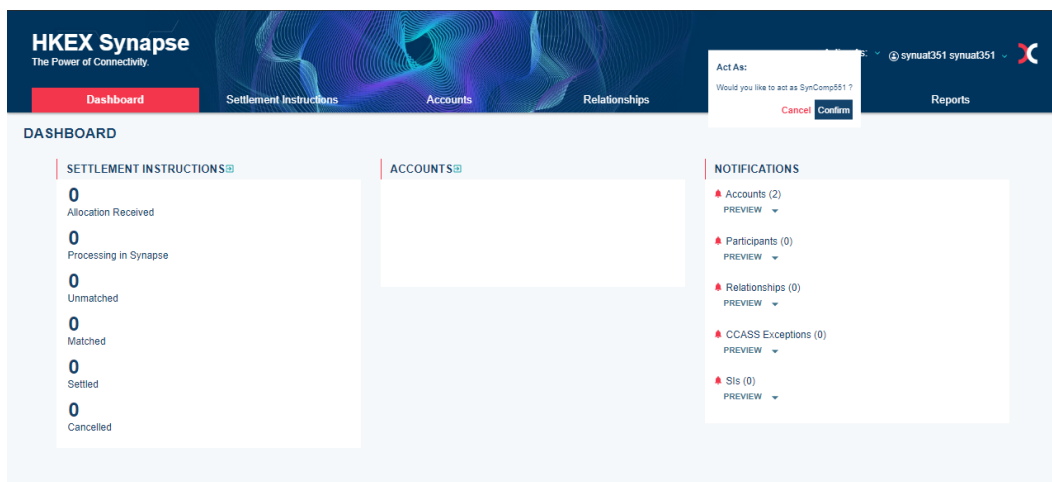
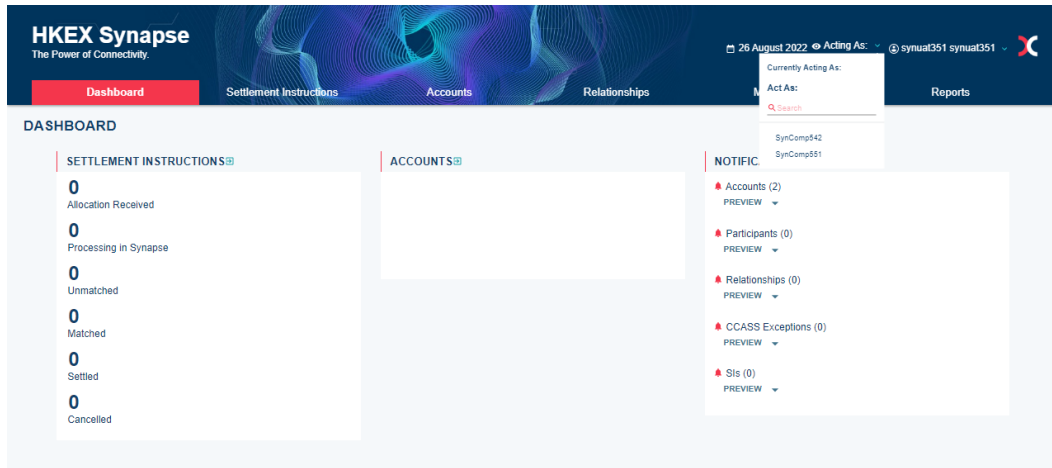


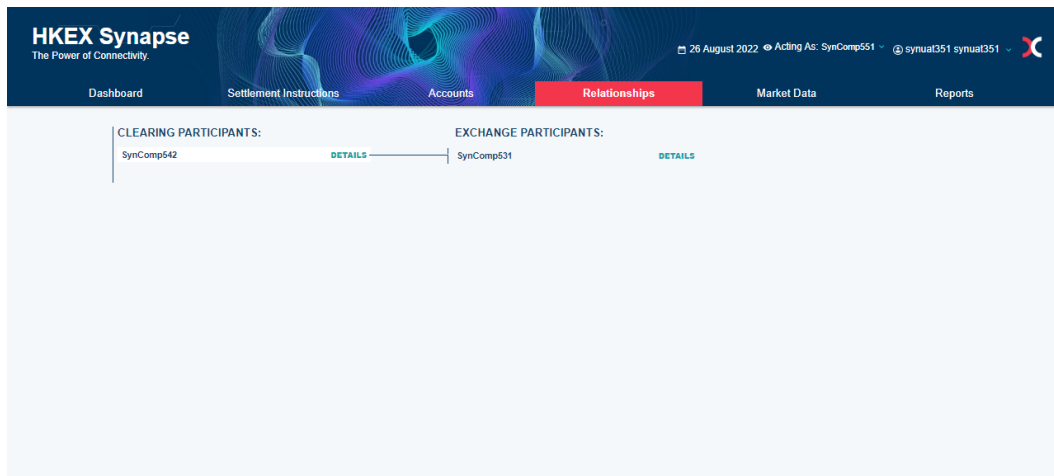
The screenshot shows the HKEX Synapse interface with the 'Relationships' tab selected. The header includes the HKEX Synapse logo, navigation tabs (Dashboard, Settlement Instructions, Accounts, Relationships, Market Data), and a user profile dropdown for 'synuat291 synuat291' dated '26 August 2022'. The main content area displays 'ACCOUNT OPERATOR' as 'SynComp551' with a 'DETAILS' link. Below this, 'CLEARING PARTICIPANTS:' lists 'SynComp542' with a 'DETAILS' link, and 'EXCHANGE PARTICIPANTS:' is empty. The user profile dropdown on the right shows 'Organization: SynComp542' and 'ACTING AS: Identity: Clearing Participant'. It also lists three functions: 'Function 1: SYN User' (Role Type: Input-Only), 'Function 2: Transaction-Balances' (Role Type: Input-Only), and 'Function 3: Data Manager' (Role Type: Input-Only). A 'Logout' button is at the bottom of the dropdown.

Account Operator (AO)

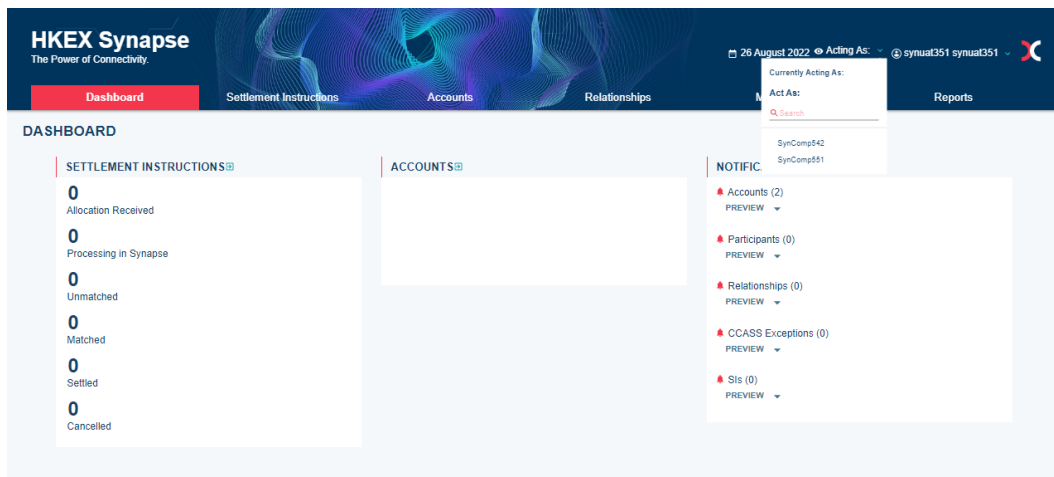
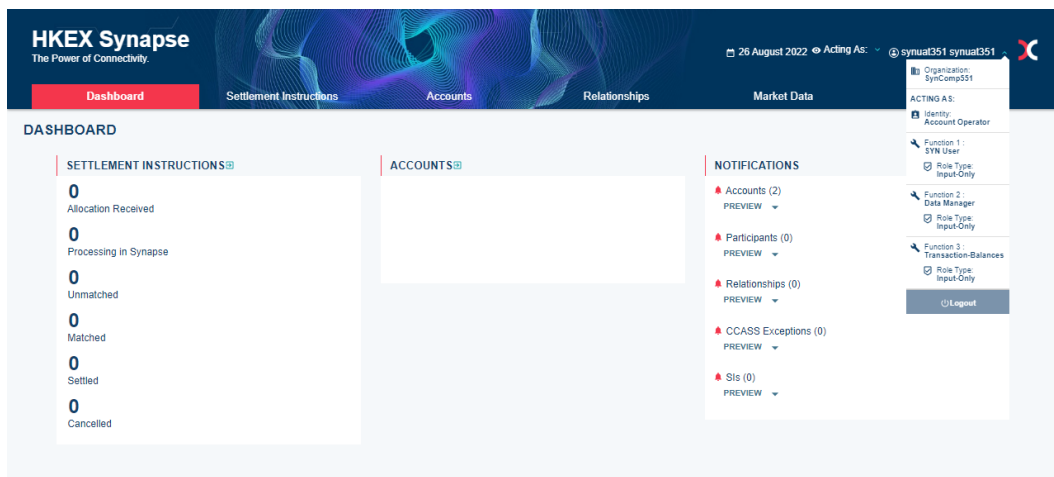
If the CP has appointed an AO, then the AO chooses which CP to act as and sees the same as what the relevant CP would see.


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





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






HKEX Synapse

The Power of Connectivity

26 August 2022

Acting As: SynComp542

synuat351 synuat351



Dashboard

Settlement Instructions

Accounts

Relationships

Market Data

Reports

ACCOUNT OPERATOR

SynComp551

DETAILS

CLEARING PARTICIPANTS:

SynComp542

DETAILS

EXCHANGE PARTICIPANTS:

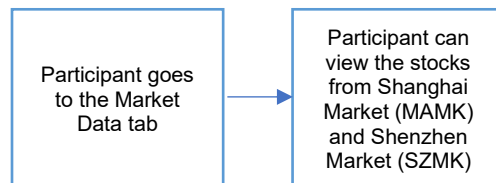
SynComp531

DETAILS

9. Market Data

Market Data allows buy side and sell side participants to see the eligible Northbound securities from two markets: Shanghai Market (MAMK) and Shenzhen Market (SZMK). There is the functionality to export the stock list to CSV format.

Market Data functionality is the same for both buy side and sell side participants. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Market Data tab, the AM participant can view the eligible Northbound securities from two markets: Shanghai Market (MAMK) and Shenzhen Market (SZMK).

Market Calendar: Download in PDF Format from HKEX website

Securities for Stock Connect Northbound Market [Export](#)

Shanghai Market (MAMK)		
STOCK NAME	ISIN	STOCK CODE
QIADA DEVICE SEMICONDUCTOR(BEIJING) INC.	CNE1000030S9	93085
SHANGHAI PUDONG DEVELOPMENT BANK CO.,	CNE100000RJ0	91288

Shenzhen Market (SZMK)		
STOCK NAME	ISIN	STOCK CODE
SHANGHAI PUDONG DEVELOPMENT BANK CO.,	CNE000000WM5	70825
TENCENT HOLDINGS	CNE000000GNS	70025

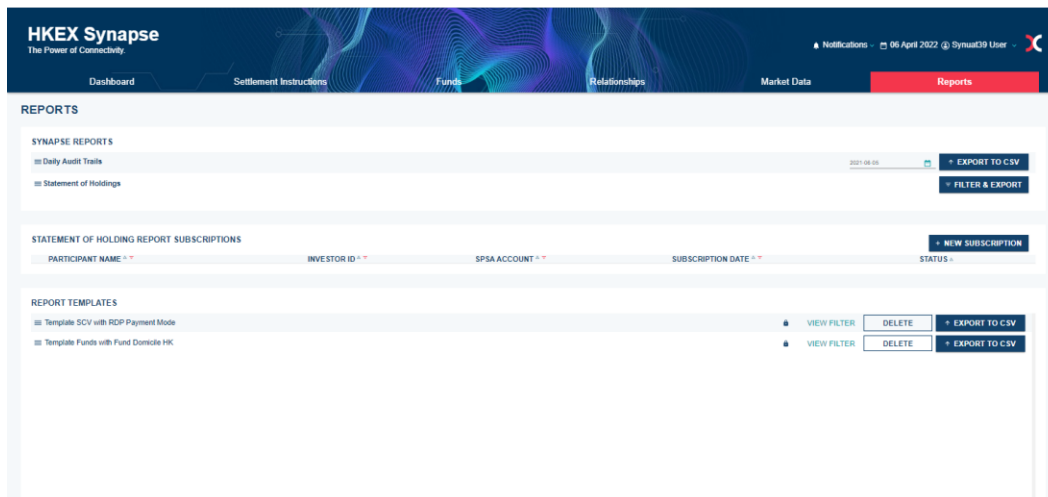
3. The AM participant can export the Stock List to CSV format by clicking the “Export” button.

Column	Description
stockCode	Stock code
isinCode	ISIN code; ISIN is the International Securities Identification Number. It can be used as a unique identifier for a stock
stockShortName	Short form of the stock name
marketCode	Indicated the stock market: - SZMK – Shenzhen Market - MAMK – Shanghai Market
listedDate	The date that the stock is listed
delistedDate	The date that the stock is delisted

10. Reports

Synapse offers participants the ability to export all its accessible data (e.g. Funds, Accounts, Settlement Instruction and Market Data) in CSV format.

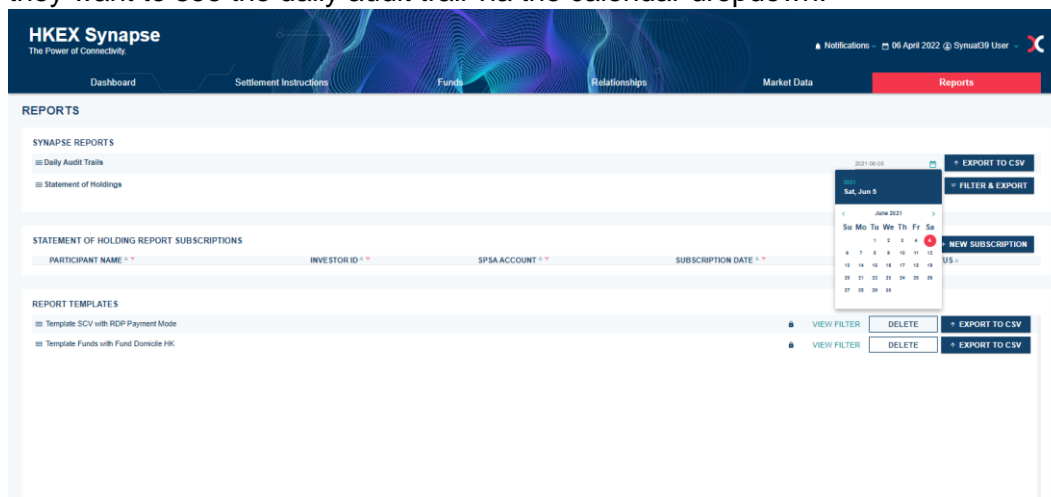
10.1 Synapse Reports



10.1.1 Daily Audit Trail

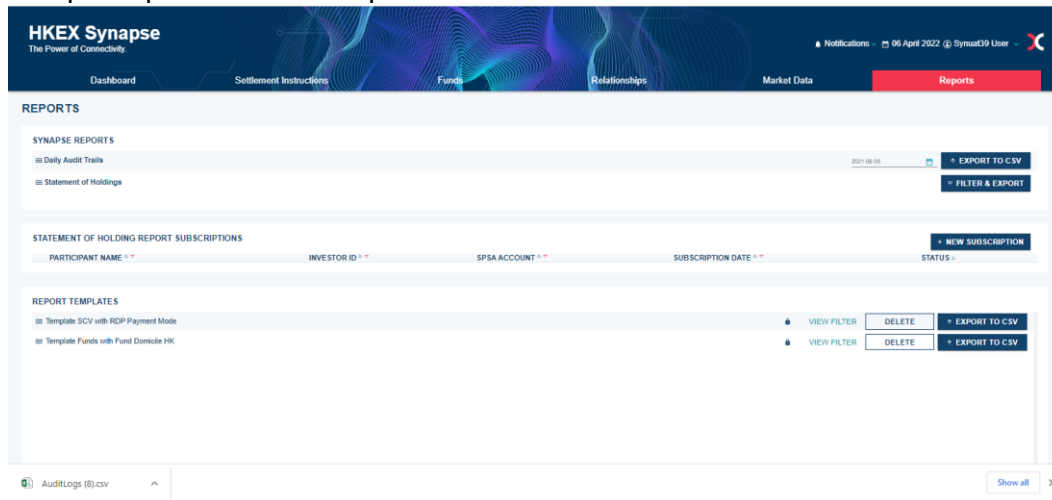
On the Reports tab, Synapse users can access a daily audit trail for all activities related to them (Funds, Accounts, and Settlement Instructions) in the form of a CSV. The daily audit trail report will be made available at the start of the day to show the previous day's system and user activities. Please note activities related to report download (e.g. SOH subscription / report template creation) and the mapping of outsourcing service provider will not be captured in the Daily Audit Trail.

1. On the Reports tab, the buy side and sell side participant can select a date for which they want to see the daily audit trail via the calendar dropdown.



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

- The participant will click “Export to CSV” to download.



Column	Description
Timestamp	Date/time when the transaction was recorded (in HKT)
Identification	Information to be displayed for different type of records: For SN - maps to CTM Transaction Identification For SCV - maps to UTI For Entity - maps to BIC/PID For Fund - maps to Fund ID and Fund Account at GC For Account - maps to Acct EP at CP
Message Type	Indicated the sub-categories of the record For Settlement Processing <ul style="list-style-type: none"> - Settlement Notification Received (Buy side) - Settlement Notification Received (Sell side) - SCV Created (Buy Side) SCV Created (Sell Side) - GC Approved - LC Approved - CP Approved - GC Rejected - LC Rejected - CP Rejected - Synapse Rejected (Buy Side) - Synapse Rejected (Sell Side) - SCV Cancelled (Buy Side) - SCV Cancelled (Sell Side) - Input SI Request (Buy Side) - Input SI Request (Sell Side) - Unmatched - OTHR (Buy Side) - Unmatched - OTHR (Sell Side) - Unmatched - SAFE (Buy Side) - Unmatched - SAFE (Sell Side) - Unmatched - DSEC (Buy Side) - Unmatched - DSEC (Sell Side) - Unmatched - DELN (Buy Side) - Unmatched - DELN (Sell Side) - Unmatched - FRAP (Buy Side) - Unmatched - FRAP (Sell Side)

Column	Description
	<ul style="list-style-type: none"> - Unmatched - DQUA (Buy Side) - Unmatched - DQUA (Sell Side) - Unmatched - DMON (Buy Side) - Unmatched - DMON (Sell Side) - Unmatched - DDAT (Buy Side) - Unmatched - DDAT (Sell Side) - Unmatched - DCUR (Buy Side) - Unmatched - DCUR (Sell Side) - Unmatched - NPOS (Buy Side) - Unmatched - NPOS (Sell Side) - Unmatched - PMNE (Buy Side) - Unmatched - PMNE (Sell Side) - Unmatched - URNA (Buy Side) - Unmatched - URNA (Sell Side) - Matched - MTCH (Buy Side) - Matched - MTCH (Sell Side) - Settled - SETD (Buy Side) - Settled - SETD (Sell Side) - Cancelled - CANI (Buy Side) - Cancelled - CANI (Sell Side) - Cancelled (CP) - CSUB (Buy Side) - Cancelled (CP) - CSUB (Sell Side) - Shares on Hold - CVAL (Buy Side) - Shares on Hold - CVAL (Sell Side) - Payment Validated - CYCL (Buy Side) - Payment Validated - CYCL (Sell Side) - Matched On-Hold - PREA (Buy Side) - Matched On-Hold - PREA (Sell Side) - Pending for Transfer - CAIS (Buy Side) - Pending for Transfer - CAIS (Sell Side) - Counter Party Instruction On-Hold - PRCY (Buy Side) - Counter Party Instruction On-Hold - PRCY (Sell Side) - Cancelled - CANS (Buy Side) - Cancelled - CANS (Sell Side) For Participant Onboarding - New Active GC Entity - New Active LC Entity - New Active AM Entity - New Active EP Entity - New Active CP Entity - New Active AMOO Entity - New Active EPOO Entity - New Active AO Entity - Entity Details Amended - Entity Status Amended For Fund Onboarding - New Fund Created - New Fund Profile Approved by GC - New Fund Profile Approved by LC - New Fund Profile Rejected by GC - New Fund Profile Rejected by LC - LC-Reappointment Approved by GC - LC-Reappointment Approved by LC

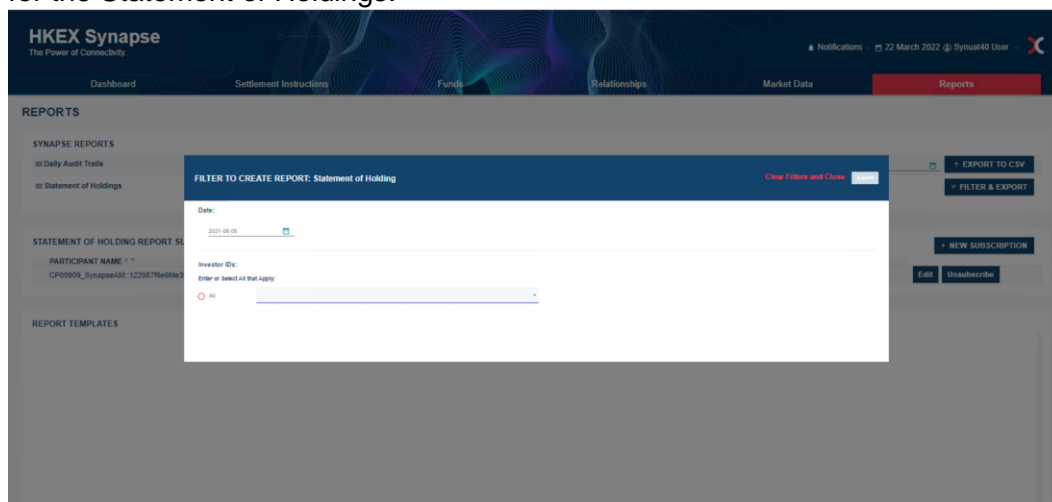
Column	Description
	<ul style="list-style-type: none"> - LC-Reappointment Rejected by GC - LC-Reappointment Rejected by LC - Fund Details Amended - Fund Status Changed - Fund Profile Status Changed For Account Onboarding <ul style="list-style-type: none"> - New Account Created - New Account Approved by CP - New Account Rejected by CP - Account Status Changed
Details	Description of the record. Please note for message types related to Fund / Account Onboarding, both maker ID and checker ID will be shown. For message type related to Settlement Processing, only entity ID will be shown.
Category	Indicated the categories of the record <ul style="list-style-type: none"> - Settlement Processing - Participant Onboarding - Fund Onboarding - Account Onboarding
Party	The company name of the entity who triggered the record
Audit Log Date	Date of the audit log generated

10.1.2 Statement of Holdings

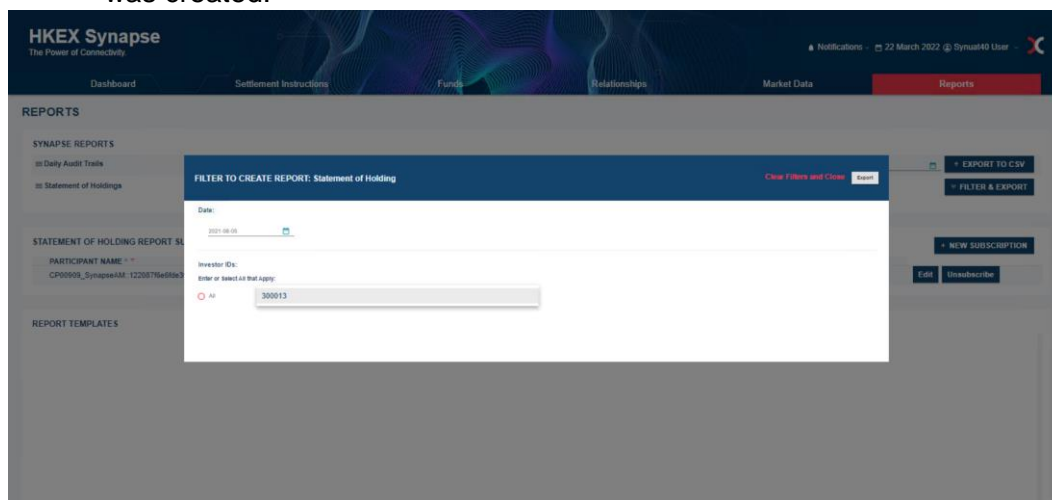
On the Reports tab, only buy side participants can download the Statement of Holdings in the form of CSV file. By on-boarding a fund onto Synapse, the relevant LC is taken to have authorized that (1) the Statement of Holdings in relation to the fund on-boarded onto Synapse in accordance with instructions from the relevant AM and GC can be provided to or through Synapse from time to time; and (2) the relevant LC, AM and GC can download such Statement of Holdings from Synapse following the steps set out in this section.

Buy Side

1. On the Reports tab, the buy side participant can click “Filter & Export” to create a filter for the Statement of Holdings.



2. The buy side participant will select a date via the calendar dropdown and the investor ID(s) they want to select.
 - a. Note: 31 calendar days are available for selection
 - b. Note: the Investor ID list is based on the Statement of Holdings subscription that was created.



3. If the incorrect date or incorrect investor ID(s) were selected, then the buy side participant can click “Clear Filters and Close” to remove any selections.

4. When the correct date and investor ID(s) have been selected, the buy side participant then clicks “Export” to download the Statement of Holdings into CSV file.

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

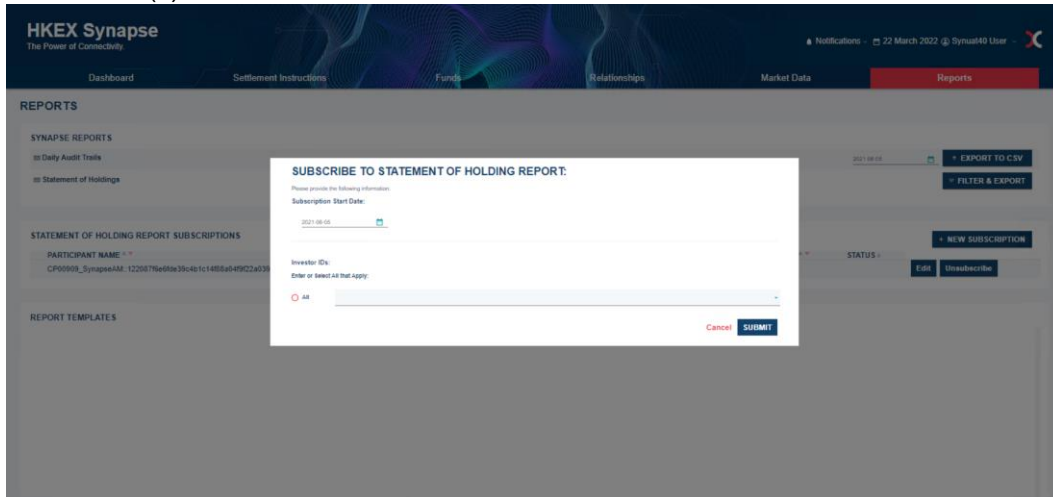
10.1.2.1 Subscribe to Statement of Holding Report

Only buy side participants, e.g., AM, AMOO, GC, and LC, can create a Statement of Holding report subscription. If the AMOO is performing SOH subscription for a specific AM, both AMOO and that specific AM (provided that the AM has also opted for ISO connectivity channel) will receive the SOH via ISO connectivity channel.

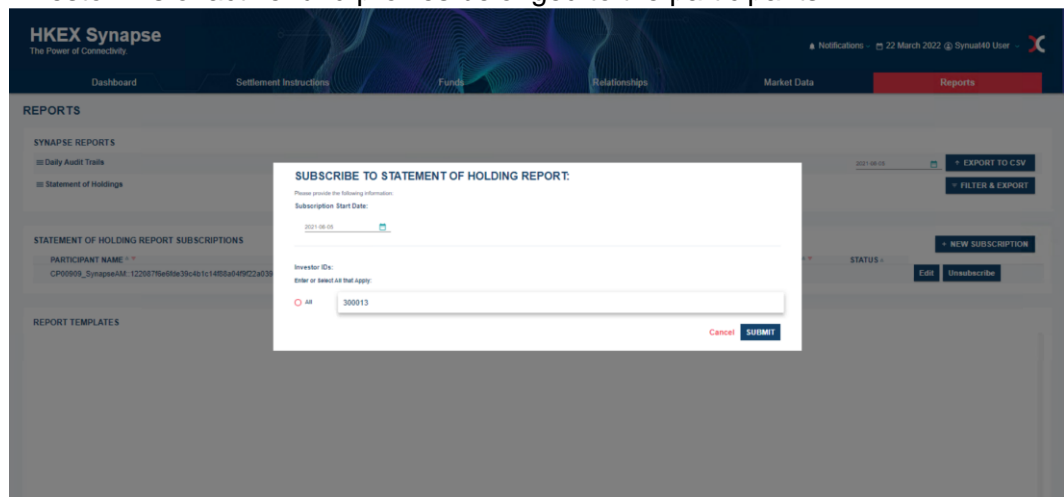
Buy Side

Buy Side Data Manager Input Only User

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



- a. Note: participants will only see investor IDs that are relevant to themselves, i.e. Investor IDs of active fund profiles belonged to the participants.



When the participant click the drop down, the participant will see a list of investor IDs that are relevant to themselves. They can select which investor IDs in particular they want to subscribe the Statement of Holding Report.

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Dashboard Settlements Data Reports

REPORTS

SYNAPSE REPORTS

- Daily Audit Trails
- Statement of Holdings

STATEMENT OF HOLDING REPORT

Subscription Start Date: 2021-06-05

Investor IDs:
Enter or Select All that Apply:

☐ All

- 300013
- 600002
- 800082

EXPORT TO CSV FILTER & EXPORT NEW SUBSCRIPTION Edit Unsubscribe

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS
SynComp501	300013, 600002, 800082	80000001, 80000002, 80000003	2021-06-05	

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25 August 2022 synuat001 synuat001

Dashboard Settlements Data Reports

REPORTS

SYNAPSE REPORTS

- Daily Audit Trails
- Statement of Holdings

STATEMENT OF HOLDING REPORT

Subscription Start Date: 2021-06-05

Investor IDs:
Enter or Select All that Apply:

☐ All

300013 600002

Cancel SUBMIT

EXPORT TO CSV FILTER & EXPORT NEW SUBSCRIPTION Edit Unsubscribe

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS
SynComp501	300013, 600002, 800082	80000001, 80000002, 80000003	2021-06-05	

2. The Buy Side Data Manager Input Only User clicks “Submit”.
3. A new row is created in the Statement of Holding Report Subscriptions table with the status “Pending approval”.

Buy Side Data Manager Input Authorise User

1. On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending approval”.

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14 June 2022 synuat003 synuat003

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

REPORTS

SYNAPSE REPORTS

Daily Audit Trails 2021-06-05 **EXPORT TO CSV**

Statement of Holdings **FILTER & EXPORT**

STATEMENT OF HOLDING REPORT SUBSCRIPTIONS **+ NEW SUBSCRIPTION**

PARTICIPANT NAME ▲▼	INVESTOR ID ▲▼	SPSA ACCOUNT ▲▼	SUBSCRIPTION DATE ▲▼	STATUS ▲	
SynComp501	300013	80000001	2021-06-05	Pending Approval	Reject Approve

2. They can either click “Reject” or “Approve”.
 - a. If Buy Side Data Manager Input Authorise User clicks “Approve”, then the Statement of Holding report subscription is approved and will start on the date provided by the Input Only User. The Statement of Holding report will be distributed to the Buy Side participants since the subscription date through the channel(s) the participant connected to Synapse such as ISO and/or API. In any cases, Buy Side participants can also download the Statement of Holding report via UI since the subscription date as well.

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15 June 2022 synuat003 synuat003

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

REPORTS

SYNAPSE REPORTS

Daily Audit Trails 2021-06-05 **EXPORT TO CSV**

Statement of Holdings **FILTER & EXPORT**

STATEMENT OF HOLDING REPORT SUBSCRIPTIONS **+ NEW SUBSCRIPTION**

PARTICIPANT NAME ▲▼	INVESTOR ID ▲▼	SPSA ACCOUNT ▲▼	SUBSCRIPTION DATE ▲▼	STATUS ▲	
SynComp501	300013	80000001	2021-06-05		Edit Unsubscribe

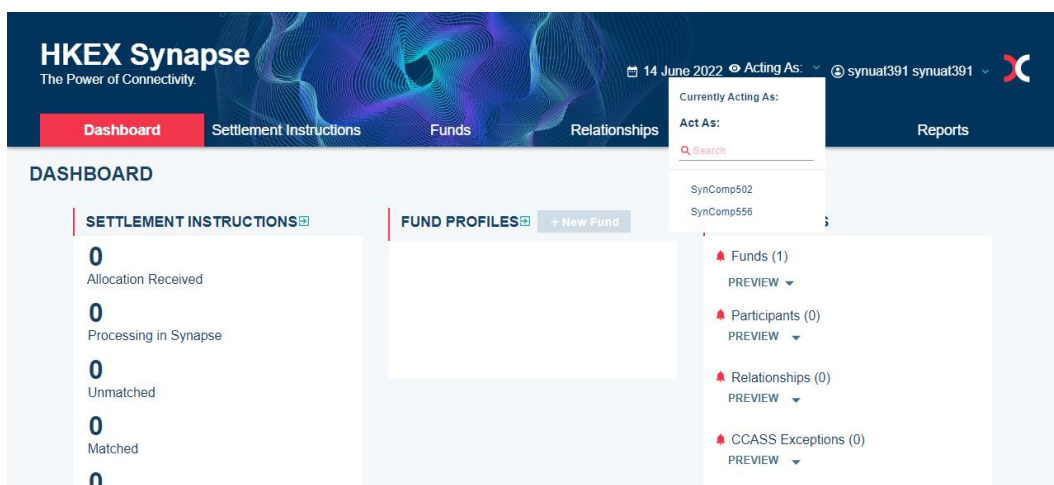
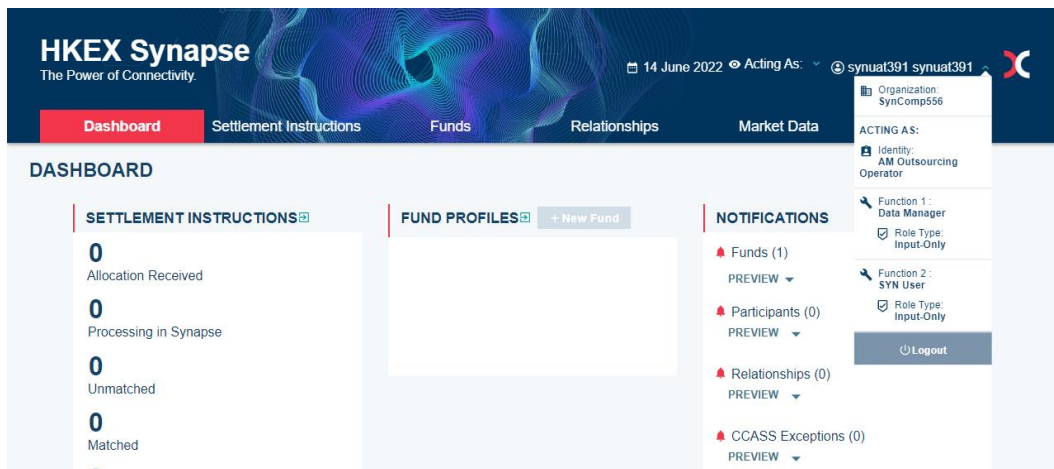
- b. If Buy Side Data Manager Input Authorise User clicks “Reject”, then the subscription process will be ended.

Asset Manager Middle Office Outsourcing Operator (AMOO)

AMOOs can either act as AM or as themselves when perform Statement of Holding report subscription.

AMOO Acting as AM

AMOO can choose to act as AM. The AMOO Data Manager Input Only User logs into Synapse via HKEX Access Management Portal and select to act as an AM from the participant dropdown in the top right corner.



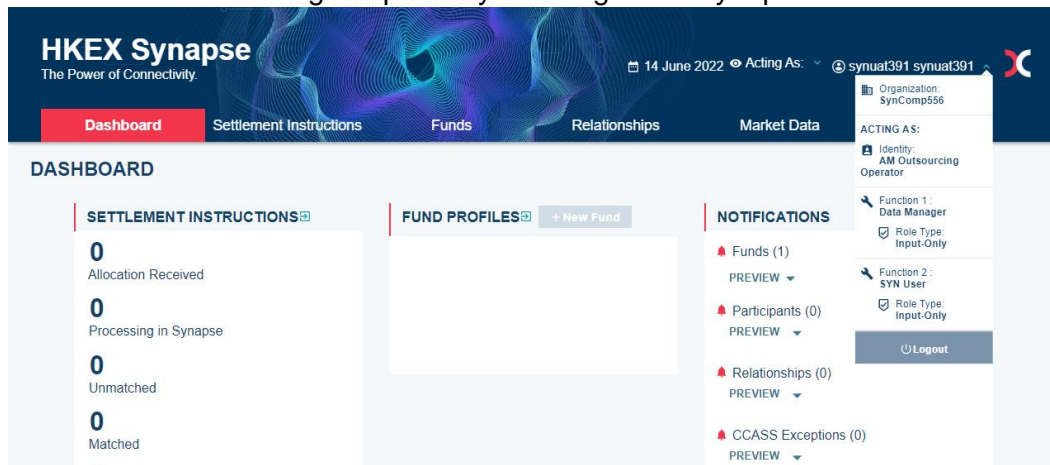
AMOO can proceed with the above process to subscribe to Statement of Holding report.

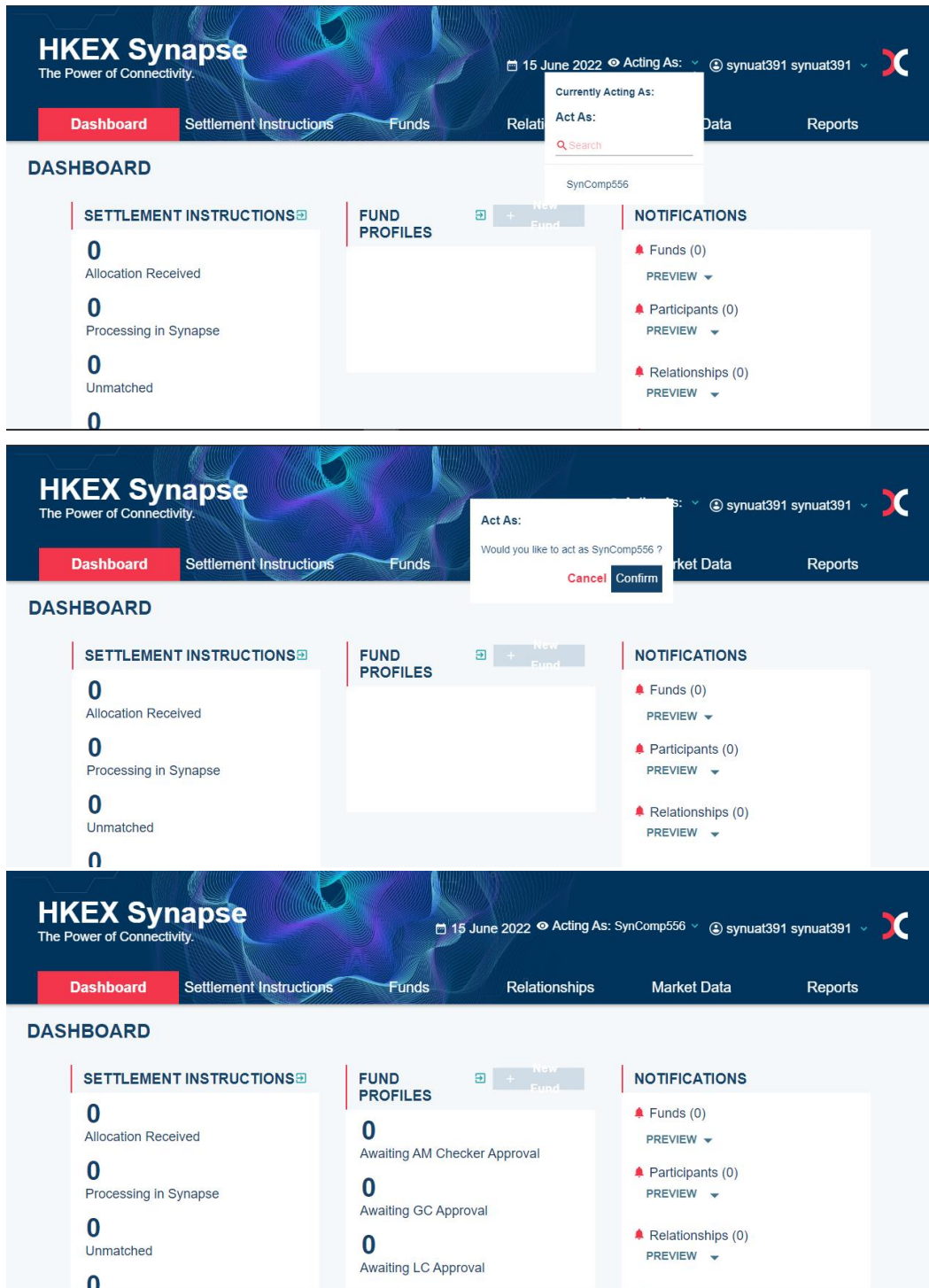
AMOO Acting as AMOO

The AMOO can also choose to act as themselves for subscription of Statement of Holding Report.

AMOO Data Manager Input Only User

1. The AMOO Data Manager Input Only User logs in to Synapse as themselves.





- On the Reports tab, the AMOO Data Manager Input Only User will select the subscription start date and choose the identity, e.g., "Asset Manager", and the participant name. The AMOO Data Manager Input Only User can select individual AM or all of the AMs.

- a. Note: selecting all of the AMs means that the AMOO wants to subscribe to the statements of holding for all of the organizations for which they are acting as.

The screenshot shows the HKEX Synapse interface. The top navigation bar includes 'Dashboard', 'Settlement Instructions', 'Funds', 'Relationships', 'Market Data', and 'Reports' (highlighted in red). The left sidebar shows 'SYNAPSE REPORTS' with options for 'Daily Audit Trails' and 'Statement of Holdings'. The main content area is titled 'REPORTS' and contains a section for 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS'. This section has a table with columns: 'PARTICIPANT NAME', 'INVESTOR ID', 'SPSA ACCOUNT', 'SUBSCRIPTION DATE', and 'STATUS'. There are buttons for 'EXPORT TO CSV', 'FILTER & EXPORT', and 'NEW SUBSCRIPTION'. Below this is a 'REPORT TEMPLATES' section.

This screenshot shows the same HKEX Synapse interface with a modal form titled 'SUBSCRIBE TO STATEMENT OF HOLDING REPORT:'. The form prompts the user to provide the following information:

- Subscription Start Date:** A date picker set to 2021-06-05.
- Select Identity:** A dropdown menu with 'All' selected.
- Select Organization:** A dropdown menu with 'All' selected.
- Investor IDs:** A section with radio buttons for 'All', 'Between', and 'Specific Investor IDs'. The 'All' option is selected.

At the bottom of the modal are 'Cancel' and 'SUBMIT' buttons.

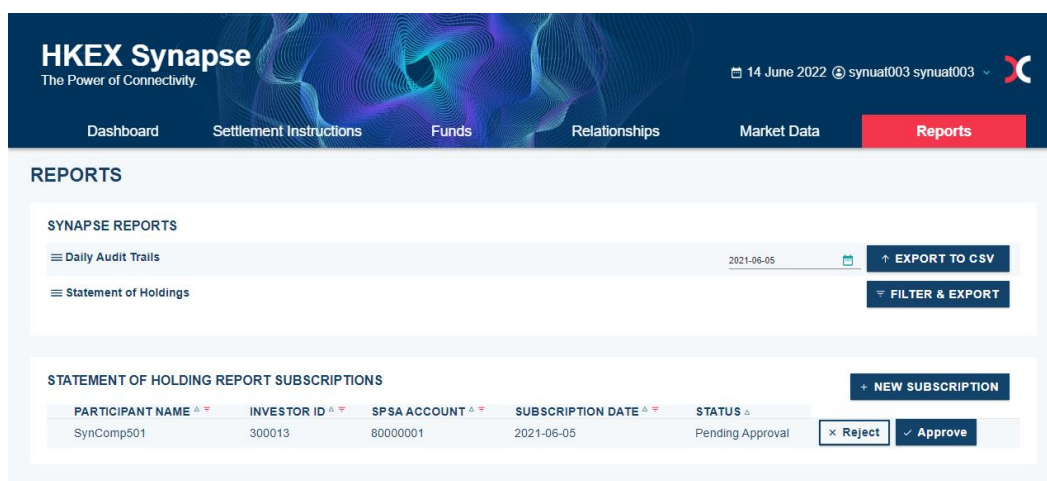
This screenshot shows the same HKEX Synapse interface with the 'SUBSCRIBE TO STATEMENT OF HOLDING REPORT:' modal form. In this view, the 'Investor IDs' section is expanded, showing the 'Between' radio button selected. Below the radio buttons, there are input fields for 'From' (100000) and 'To' (700000).

3. The AMOO Data Manager Input Only User can select all investor IDs related to them by choosing 1 out of the 3 radio buttons:
 - a. All – Selecting “All” to apply to all investor IDs related to them.

- b. Between – Selecting “between” and providing x and y parameters means that the investors between x and y, inclusive, will be selected.
 - c. Specific Investor IDs – Selecting “Specific Investor IDs” to select one or multiple investor IDs.
4. The AMOO Data Manager Input Only User clicks “Submit”.
5. A new row is created in the Statement of Holding Report Subscriptions table with the status “Pending approval”.

AMOO Data Manager Input Authorise User

1. On the Reports tab, the AMOO Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending approval”.
2. AMOO Data Manager Input Authorise User can either click “Reject” or “Approve”.
 - a. If AMOO Data Manager Input Authorise User clicks “Approve”, then the Statement of Holding Report subscription is approved and will start on the date provided by the Input Only User. The Statement of Holding Report will be distributed to AMOO since the subscription date through the channel AMOO connected to Synapse, such as ISO. In any cases, AMOO can also download the Statement of Holding report via UI since the subscription date as well.
 - b. If AMOO Data Manager Input Authorise User clicks “Reject”, then the subscription process will be ended.



10.1.2.2 Unsubscribe from Statement of Holding Report

Buy side participants can choose to unsubscribe the Statement of Holding Report if consider the information is not necessary.

Buy Side

Buy Side Data Manager Input Only User

1. On the Reports tab, the Buy Side Data Manager Input Only User clicks “Unsubscribe” in the relevant row in the Statement of Holding Report subscription table

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

REPORTS

SYNAPSE REPORTS

- Daily Audit Trails 2021-06-05 [↑ EXPORT TO CSV](#)
- Statement of Holdings [FILTER & EXPORT](#)

STATEMENT OF HOLDING REPORT SUBSCRIPTIONS [+ NEW SUBSCRIPTION](#)

PARTICIPANT NAME ▲ ▼	INVESTOR ID ▲ ▼	SPSA ACCOUNT ▲ ▼	SUBSCRIPTION DATE ▲ ▼	STATUS ▲	
SynComp502	300013	80000001	2021-06-05	Pending Approval (Unsubscribe)	Edit Unsubscribe

- The Buy Side Data Manager Input Only User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending Approval (Unsubscribe)”

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

REPORTS

SYNAPSE REPORTS

- Daily Audit Trails 2021-06-05 [↑ EXPORT TO CSV](#)
- Statement of Holdings [FILTER & EXPORT](#)

STATEMENT OF HOLDING REPORT SUBSCRIPTIONS [+ NEW SUBSCRIPTION](#)

PARTICIPANT NAME ▲ ▼	INVESTOR ID ▲ ▼	SPSA ACCOUNT ▲ ▼	SUBSCRIPTION DATE ▲ ▼	STATUS ▲	
SynComp502	300013	80000001	2021-06-05	Pending Approval (Unsubscribe)	Unsubscribe

Buy Side Data Manager Input Authorise User

- On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending Approval (Unsubscribe)”

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15 June 2022 @ synuat003 synuat003

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

REPORTS

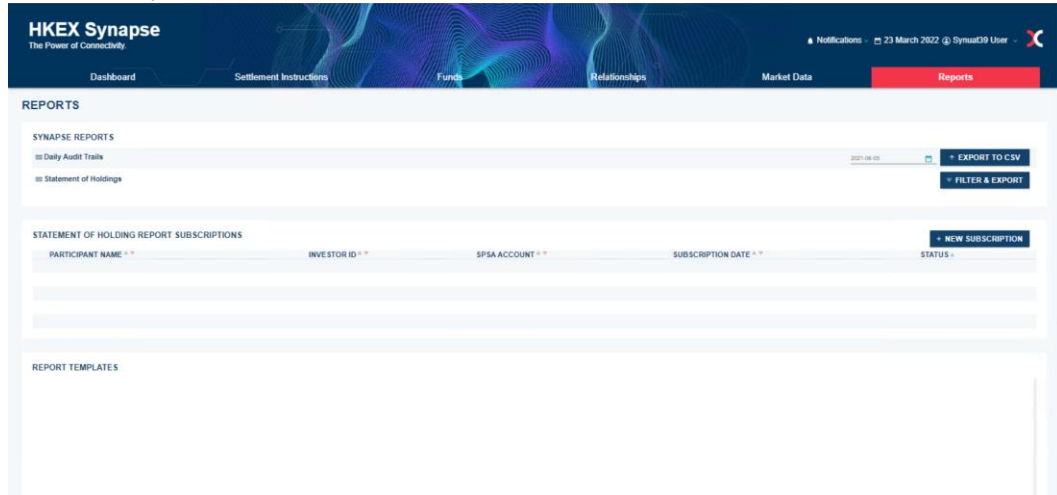
SYNAPSE REPORTS

- Daily Audit Trails 2021-06-05 [↑ EXPORT TO CSV](#)
- Statement of Holdings [FILTER & EXPORT](#)

STATEMENT OF HOLDING REPORT SUBSCRIPTIONS [+ NEW SUBSCRIPTION](#)

PARTICIPANT NAME ▲ ▼	INVESTOR ID ▲ ▼	SPSA ACCOUNT ▲ ▼	SUBSCRIPTION DATE ▲ ▼	STATUS ▲	
SynComp501	300013, 300008, 600002	80000001, BO1451, 80000002	2021-06-05	Pending Approval (Unsubscribe)	x Reject ✓ Approve

2. Buy Side Data Manager Input Authorise User can either click “Reject” or “Approve”.
 - a. If Buy Side Data Manager Input Authorise User clicks “Approve”, then the Statement of Holding Report unsubscription is approved, the previous subscription record will be removed from the list and the unsubscription will be immediately effective.



- b. If Buy Side Data Manager Input Authorise User clicks “Reject”, then the unsubscription process will be ended.

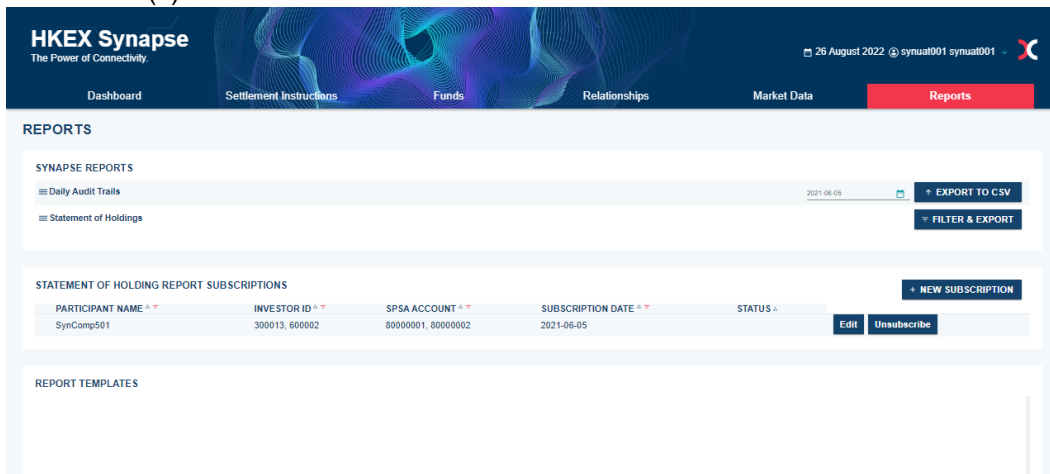
10.1.2.3 Amend the Subscription to the Statement of Holding Report

If a buy side participant wants to amend a Statement of Holding subscription, then they can update the selection of the Investor IDs. They can select “All” investor ID, select / add new investor ID or remove existing investor ID.

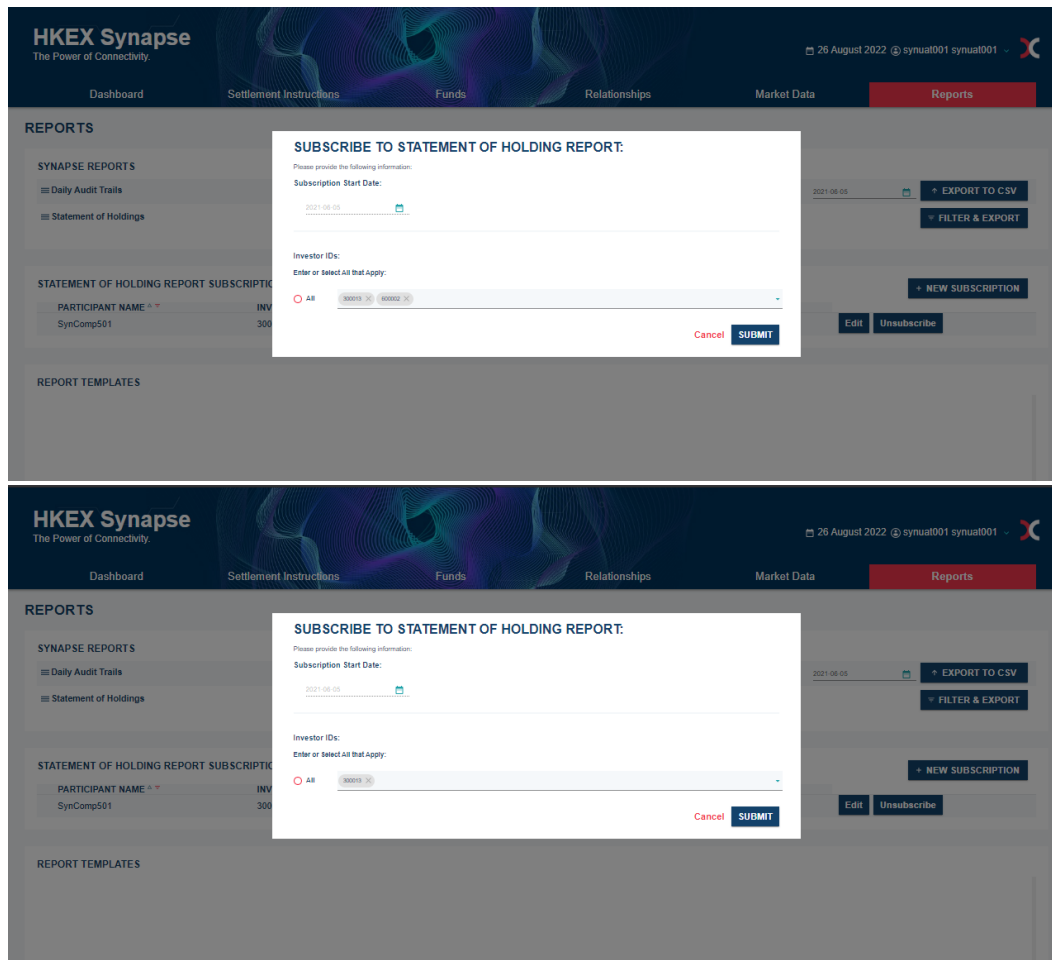
Buy Side

Buy Side Data Manager Input Only User

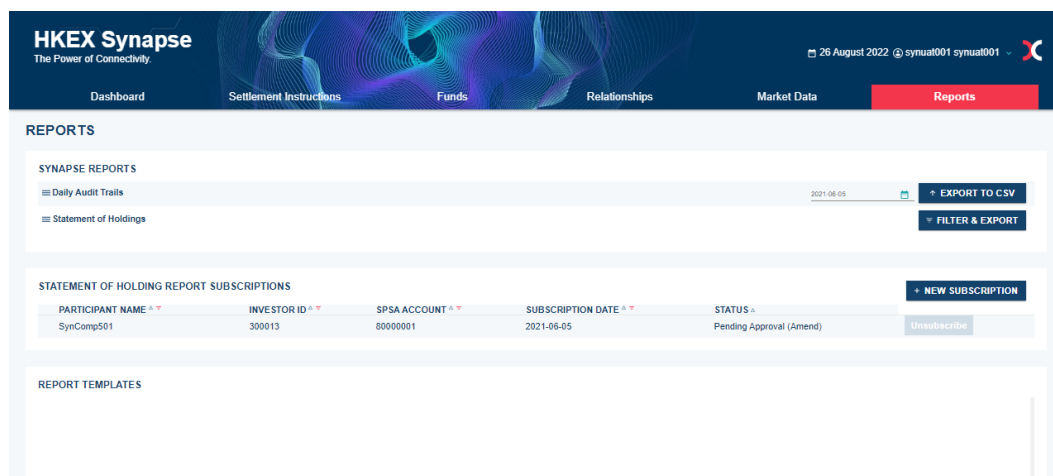
1. On the Reports tab, the Buy Side Data Manager Input Only User clicks “Edit” and select investor ID(s).



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



3. The row related to that Statement of Holding subscription in the Statement of Holding Report Subscriptions table is updated with the status “Pending Approval (Amend)”.



Buy Side Data Manager Input Authorise User

1. On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status “Pending approval (Amend)”.

The screenshot shows the HKEX Synapse interface with the 'Reports' tab selected. Under 'SYNAPSE REPORTS', the 'Statement of Holdings' is chosen. The 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS' table displays a row for 'SynComp501' with a status of 'Pending Approval (Amend)'. Buttons for 'Reject' and 'Approve' are visible next to the row.

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS
SynComp501	300013	80000001	2021-06-05	Pending Approval (Amend)

2. Buy Side Data Manager Input Authorise User can either click “Reject” or “Approve”.
 - a. If Buy Side Data Manager Input Authorise User clicks “Approve”, then the amendment of Statement of Holding Report subscription is approved and will start on the date provided by the Input Only User. That means the previous subscription details will be replaced by the new subscription and the participant will no longer receive the Statement of Holding Report based on previous subscription details.

The screenshot shows the HKEX Synapse interface with the 'Reports' tab selected. Under 'SYNAPSE REPORTS', the 'Statement of Holdings' is chosen. The 'STATEMENT OF HOLDING REPORT SUBSCRIPTIONS' table displays two rows. The first row for 'SynComp556' has a status of 'Pending Approval' and buttons for 'Reject' and 'Approve'. The second row for 'SynComp502' has buttons for 'Edit' and 'Unsubscribe'.

PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS
SynComp556	300013	80000001	2021-06-05	Pending Approval
SynComp502	600002	80000002	2021-06-05	

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

10.1.3 Day-begin Master SPSA Sellable Balance Report (G29)

On the Reports tab, Asset Managers can download the Day-begin Master SPSA Sellable Balance Report (G29) in the form of CSV file. The sellable balance report will be made available at the start of the day and the relevant AM can download such report from Synapse following the steps set out in this section. Please note the report will be available for retrieval for 31 calendar days.

Asset Manager

1. On the Reports tab, Asset Manager can click “Filter & Export” to create a filter for the Day-begin Master SPSA Sellable Balance Report (G29).

2. Asset Manager can select a date via the calendar dropdown and the Master SPSA ID they want to select via the Master SPSA IDs dropdown list.
 - a. Note: 31 calendar days are available for selection
 - b. Note: The latest Master SPSA ID list will be available for selection .

3. When the correct date and Master SPSA ID have been selected, the Asset Manager then clicks “Export” to download the Day-begin Master SPSA Sellable Balance Report into CSV file.

Column	Field Length (Max)	Remark
Master SPSA ID	6	Numeric value
Market Code	4	“ASHR” for Shanghai or “ASZR” for Shenzhen
CSC Stock Code	6	Numeric value
CCASS Stock Code	5	Numeric value
Master SPSA ID Sellable Balance	18	Numeric value
SPSA ID	6	Numeric value

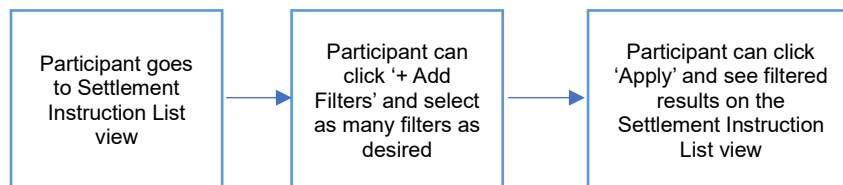
SPSA ID Sellable Balance	15	Numeric value
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10.2 Report Templates

10.2.1 Filters

Synapse offers participants the ability to filter on list view results.

Buy side and sell side participants can apply filtering function on the Settlement Instruction List view. The filters applied can be applied against all fields on the list view and details view. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from the Asset Manager participant on the Settlement Instruction List View.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Settlement Instruction List view, for example, the AM participant can click on the red downward triangle. Clicking the red triangle will create a 'Filters Applied:' box at the top of the screen. Please note the filtering function is applying on top of the SI creation date shown on the SI List View on the top right-hand corner.

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Dashboard

Settlement Instructions

Funds

Relationships

Market Data

Reports

17 April 2023 @ 10:01:01 synapse01

Settlement Instructions

110116

ProcessingUnmatchedMatchedSettledCancelled

Q SearchGenerate Report

2023-05-05

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP RIC	TRADE ID	GC	LC	CP	STATUS		
SI	002236	CNE100000000	279.985	CNY	4,965,977.07	DEU	DVP	542236	DTCCSELLXXX	219994155778229	✓	✓	✓	Settled	DETAILS	
SI	002231	CNE100000000	29.622	CNY	4,965,977.07	DEU	DVP	542231	219994155778229	✓	✓	✓	✓	Cancelled	DETAILS	
SI	002231	CNE100000000	29.621	CNY	4,965,977.07	DEU	DVP	542231	219994155778229	✓	✓	✓	✓	Cancelled	DETAILS	
SI	002231	CNE100000000	29.623	CNY	4,965,977.07	DEU	DVP	542231	219994155778229	✓	✓	✓	✓	Cancelled	DETAILS	
SI	002231	CNE100000000	29.624	CNY	4,965,977.07	DEU	DVP	542231	219994155778229	✓	✓	✓	✓	Cancelled	DETAILS	
SI	002231	CNE100000000	29.626	CNY	4,965,977.07	DEU	DVP	542231	DTCCSELLXXX	2962094155778229	✓	✓	✓	✓	Settled	DETAILS
SI	002231	CNE100000000	29.627	CNY	4,965,977.07	DEU	DVP	542231	DTCCSELLXXX	2962094155778229	✓	✓	✓	✓	Cancelled	DETAILS
SI	002231	CNE100000000	22.312	CNY	4,965,977.07	DEU	DVP	542231	DTCCSELLXXX	221994155778229	✓	✓	✓	✓	Settled	DETAILS
SI	002231	CNE100000000	29.626	CNY	4,965,977.07	DEU	DVP	542231	219994155778229	✓	✓	✓	✓	Unmatched	DETAILS	
SI	002231	CNE100000000	2.731	CNY	4,965,977.07	DEU	DVP	542231	DTCCSELLXXX	231994155778229	✓	✓	✓	✓	Settled	DETAILS
SI	002236	CNE100000000	1.176	CNY	4,965,977.07	DEU	DVP	542236	DTCCSELLXXX	220600044078882	✓	✓	✓	✓	Settled	DETAILS
SI	002237	CNE100000000	2.127	CNY	4,965,977.07	DEU	DVP	542237	DTCCSELLXXX	2327000044078882	✓	✓	✓	✓	Settled	DETAILS
SI	002245	CNE100000000	22.451	CNY	4,965,977.07	DEU	DVP	542245	DTCCSELLXXX	2245200044078882	✓	✓	✓	✓	Settled	DETAILS
SI	002245	CNE100000000	22.452	CNY	4,965,977.07	DEU	DVP	542245	DTCCSELLXXX	2245400044078882	✓	✓	✓	✓	Settled	DETAILS
SI	002245	CNE100000000	82.289	CNY	4,965,977.07	DEU	DVP	542245	DTCCSELLXXX	2245400044078882	✓	✓	✓	✓	Settled	DETAILS
SI	002245	CNE100000000	22.450	CNY	4,965,977.07	DEU	DVP	542245	DTCCSELLXXX	2245200044078882	✓	✓	✓	✓	Settled	DETAILS
SI	002245	CNE100000000	22.452	CNY	4,965,977.07	DEU	DVP	542245	DTCCSELLXXX	2245200044078882	✓	✓	✓	✓	Settled	DETAILS

3. The AM participant can click '+ Add Filters'. Then the AM participant will see a module with a dropdown of all fields that the Settlement Instruction List view can be filtered on. There is no maximum number of filters that can be added. There are four types of filters:
 - a. Radial button to select a specific type, e.g. Payment Mode type

- b. Date filter wherein specific date(s) can be selected, e.g. today, range, or the last (n) calendar days (April 4, 1900)

When the user selects "Today"

[illegible][illegible]

- [illegible]

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

The screenshot displays the 'Settlement Instructions' section of the HKEX Synapse interface. At the top, a summary bar shows counts for Processing (1), Unmatched (1), Matched (0), Settled (11), and Cancelled (6). Below this, a 'FILTERS APPLIED' section shows a filter for 'SETTLEMENT AMOUNT' with the operator 'Greater than or equal to' and the value '4,900'. The main table lists settlement instructions with columns: INS TYPE, FUND ID, ISIN, QUANTITY, SETTLEMENT CURRENCY, SETTLEMENT AMOUNT, TYPE, and various status indicators (e.g., Settled, Cancelled, Unmatched). The table is paginated, showing results 1 to 16.

- After the AM participant adds all of the desired filters, they click 'Apply'.
- All of the desired filters will show on the top of the screen, and the Settlement Instruction List view will show the filtered results.

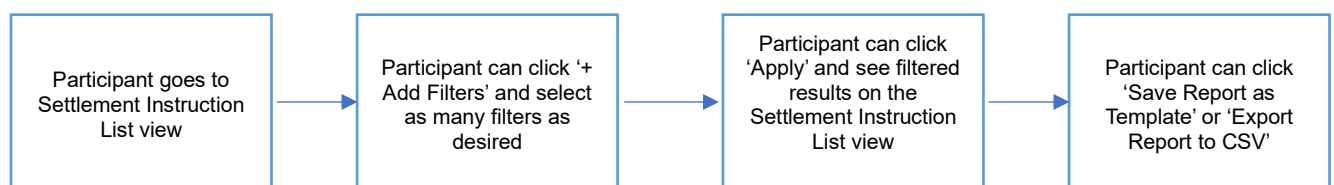
This screenshot shows the same 'Settlement Instructions' page after filtering. The 'SETTLEMENT AMOUNT' filter remains applied. The table now displays only the instructions that meet the criteria, with the 'SETTLEMENT AMOUNT' column showing values greater than or equal to 4,900. The summary bar and filter section are consistent with the previous screenshot.

10.2.2 Create Report Templates

Both buy side and sell side participants can create report templates for individual use or for sharing with others.

Create report templates functionality for both buy side and sell side participants is on the Report Feature on the Settlement Instruction List view. The filters applied from the create report template functionality can be applied against all fields on the list view and details view. There is no difference in functionality for either Input Only Users or Input Authorise Users.

The sample screens below are illustrative and are from the Asset Manager participant on the Settlement Instruction List View.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Settlement Instructions, the AM participant can generate a report from the Settlement Instruction List view.

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

SETTLEMENT INSTRUCTIONS

4 2 0 0 0
Processing Unmatched Matched Settled Cancelled

Search Generate Report

2021-06-08

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	552509	CNE100002038	92,200	CNY	4,065,977.07	RECE	DVP	542509		1550063279132021	✓	✓	—	Unmatched
SI	552509	CNE100002038	92,200	CNY	4,065,977.07	RECE	DVP	542509		1550063279132022	✓	✓	—	Unmatched
SI	882561	CNE100002038	92,200	CNY	4,065,977.07	RECE	DVP	542561		5058768034052123	—	—	—	Unmatched
SI	882561	CNE100002038	92,200	CNY	4,065,977.07	RECE	DVP	542561		4458768034052123	—	—	—	Unmatched
SI	882511	CNE100002038	2,511	CNY	4,065,977.07	DELI	DVP	542511		2511394155771022	—	—	—	Unmatched
SI	552568	CNE100002038	693	CNY	4,065,977.07	DELI	DVP	542568		1693994155771021	—	—	—	Unmatched

Previous < > Next

3. The AM participant can click 'Generate Report' from the Settlement Instruction List view, for example, and clicks '+ Add Filters'. Then the AM participant will see a module with a dropdown of all fields that the List view can be filtered on. There is no maximum number of filters that can be added. There are four types of filters:
 - a. Radial button to select a specific type, e.g., Payment Mode type to
 - b. Date filter wherein specific date(s) can be selected, e.g., today, range, or the last (n) calendar days
 - c. String filter wherein the participant can enter a string of text on which to filter, e.g., Fund Umbrella name
 - d. Numerical filter wherein the participant can enter an integer on which to filter, e.g., Settlement Amount
4. After the AM participant adds all of the desired filters, they click 'Apply'.
5. All of the desired filters will show on the top of the screen, and the List view will show the filtered results.

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Dashboard Settlement Instructions Funds Relationships Market Data Reports

SETTLEMENT INSTRUCTIONS

4 2 0 0 0
Processing Unmatched Matched Settled Cancelled

Cancel Save Report as Template Export Report to CSV

FILTERS APPLIED : X INS TYP : SI X Quantity : (Equals) 92,200 Clear All Filters ADD FILTERS

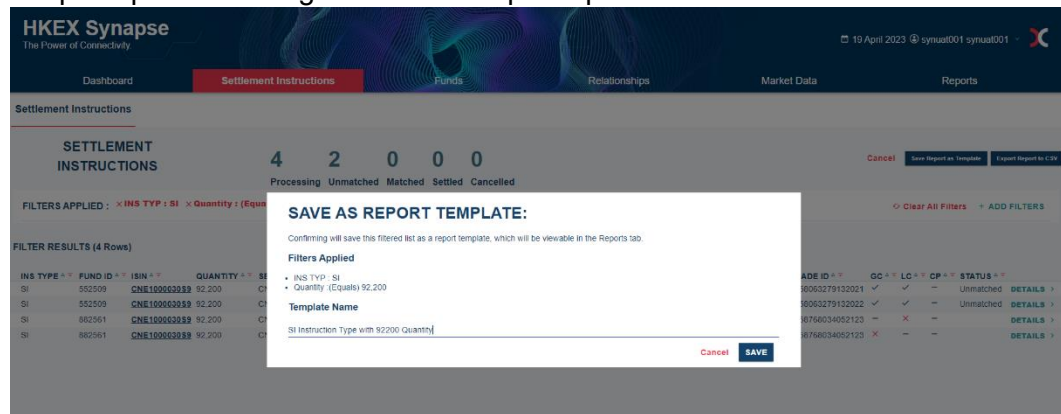
FILTER RESULTS (4 Rows)

INS TYPE	FUND ID	ISIN	QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC	EP BIC	TRADE ID	GC	LC	CP	STATUS
SI	552509	CNE100002038	92,200	CNY	4,065,977.07	RECE	DVP	542509		1550063279132021	✓	✓	—	Unmatched
SI	552509	CNE100002038	92,200	CNY	4,065,977.07	RECE	DVP	542509		1550063279132022	✓	✓	—	Unmatched
SI	882561	CNE100002038	92,200	CNY	4,065,977.07	RECE	DVP	542561		5058768034052123	—	—	—	Unmatched
SI	882561	CNE100002038	92,200	CNY	4,065,977.07	RECE	DVP	542561		4458768034052123	—	—	—	Unmatched

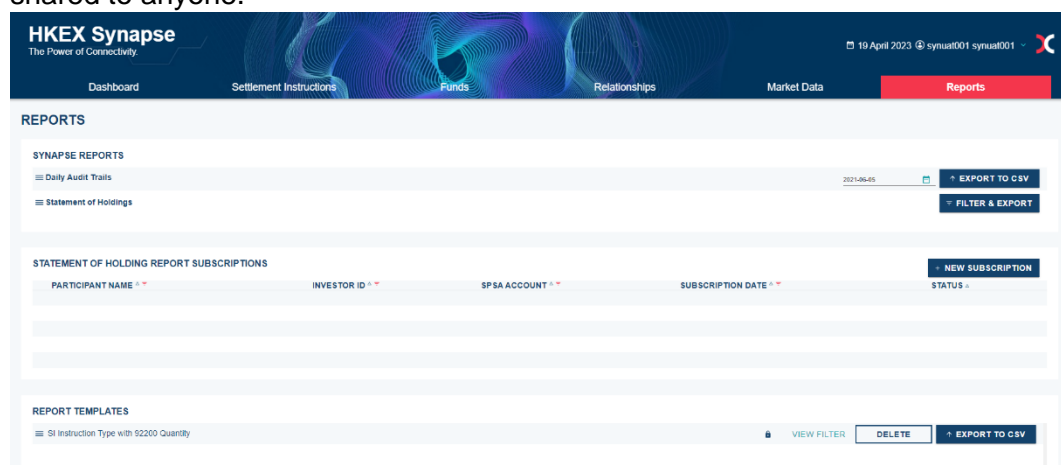
Previous < > Next

6. The AM participant can select 'Export Report to CSV' to export the filtered results into CSV format. The generated report will show the filtered results and have all of the fields that the AM participant is allowed to see.

7. The AM participant can select 'Save Report as Template' to create the report template
 - a. 'Save Report as Template' will require the AM participant to add a name to the template prior to saving. Then the AM participant clicks 'Save' button



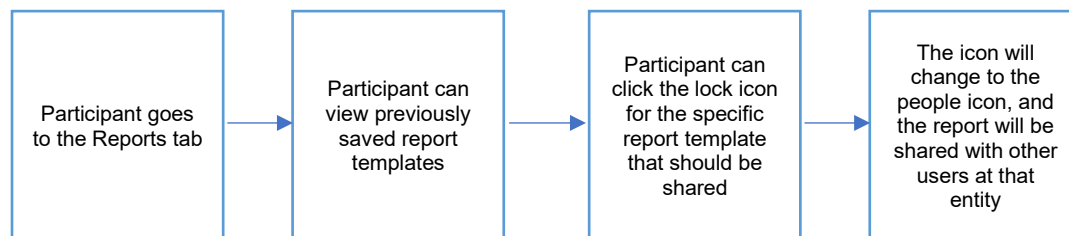
- b. Once the report template is successfully saved, the report template record is shown under the 'Report Templates' section under 'Reports' tab with a lock icon by default. The lock icon indicates that the report template has not yet been shared to anyone.



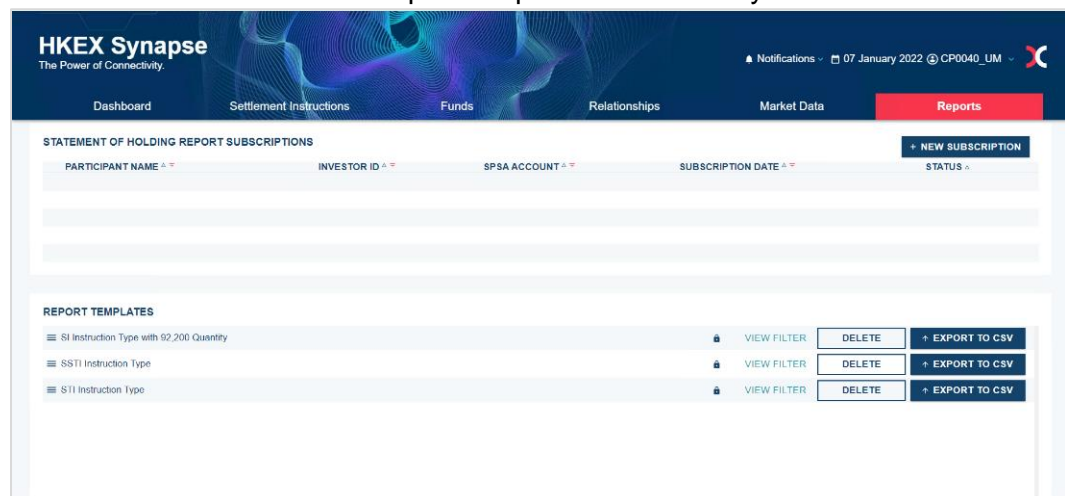
On the 'Report Templates' section under 'Reports' tab, the AM participant can click 'Export to CSV' button to export the filtered results based on the report template into CSV. Once click 'Export to CSV' button, the generated report will show the filtered results and have all of the fields that the AM participant is allowed to see. The report content is based on the latest system records as of the time of report generation.

10.2.3 Share Report Templates

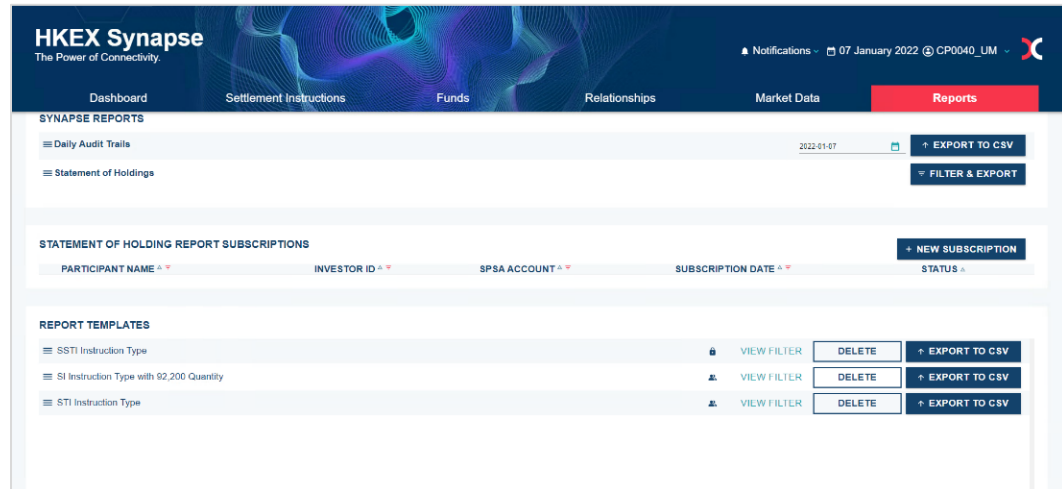
Synapse offers participants the ability to share report templates to other users within the same entity. Share report templates functionality is limited to the reports that buy side and sell side participants are allowed to see. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:
 - a. Lock icon – these are saved report templates accessed by an individual



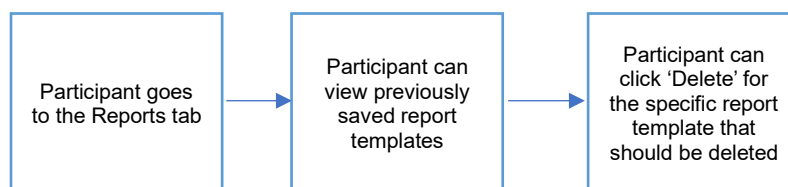
- b. People icon – these are saved report templates created and shared with multiple people within same entity



3. To share a report template with other users at the entity, the AM participant can click that report's lock icon, which will change to a people icon. The report template will automatically be shared with all other users within the entity, where an additional row will immediately appear in the Report Template section for the rest of the users within that entity.
 - a. Note: If the AM participant does not want to share the report template with other users, the AM participant can click the people icon, which will change back to a lock icon. The report template will not be shared with other users immediately.

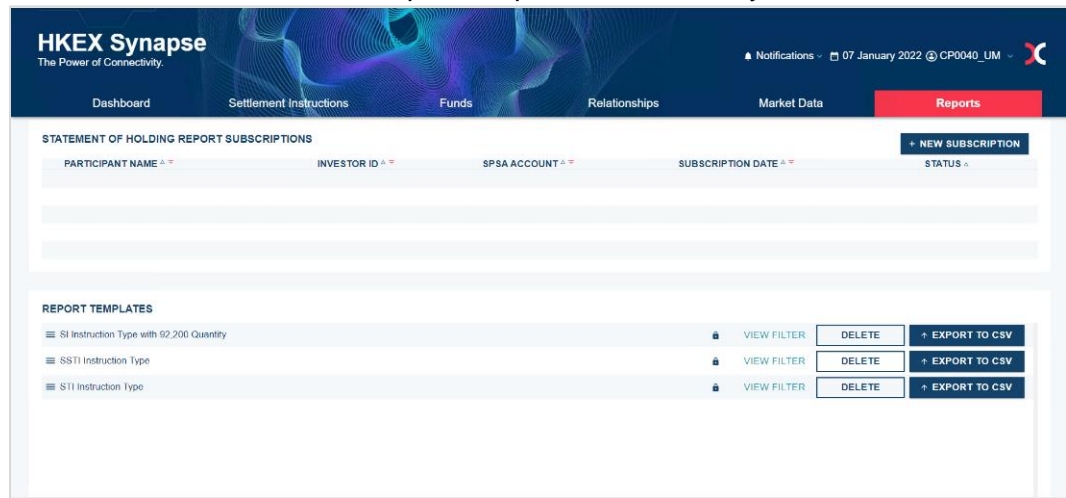
10.2.4 Delete Report Templates

Synapse offers participants the ability to delete previously created report templates. Delete report templates functionality is limited to the reports that buy side and sell side participants are allowed to see. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from the Asset Manager participant.

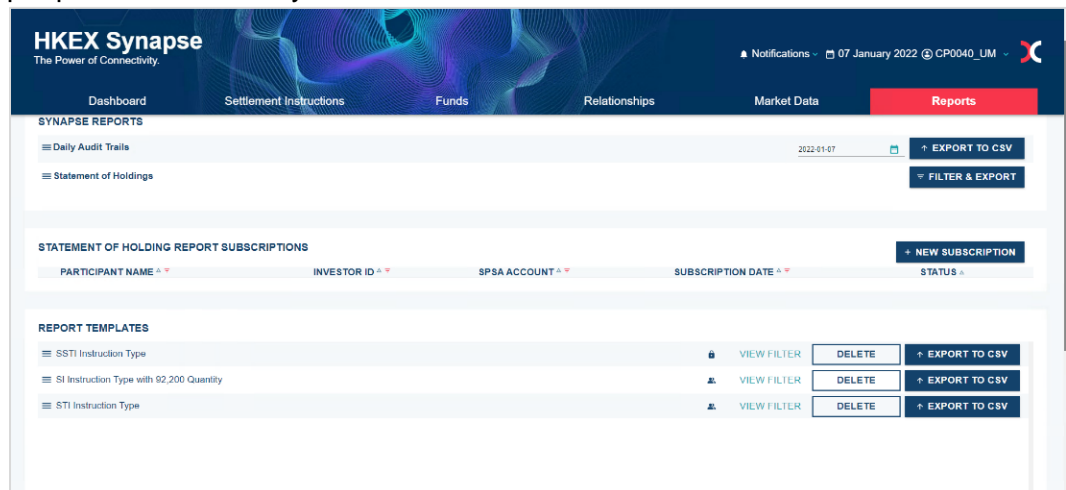


1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:

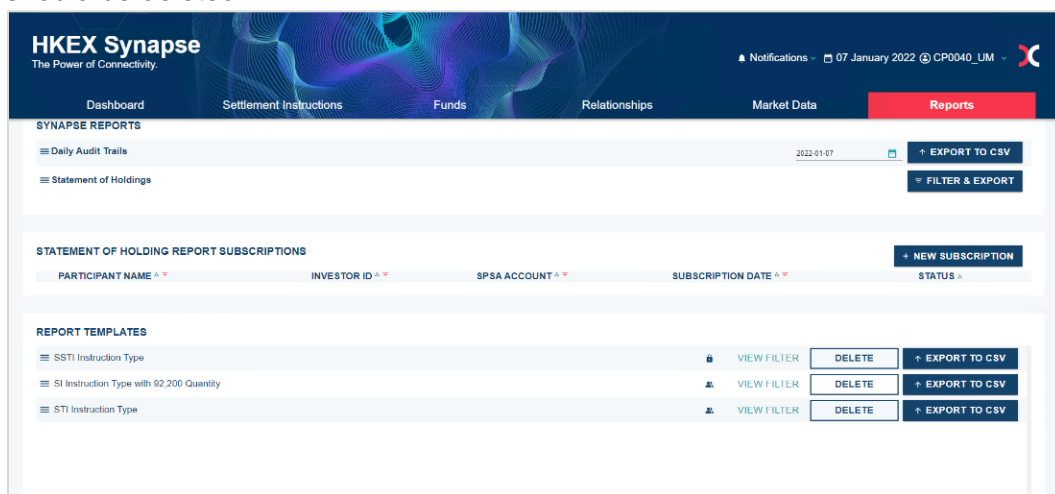
- a. Lock icon – these are saved report templates accessed by an individual

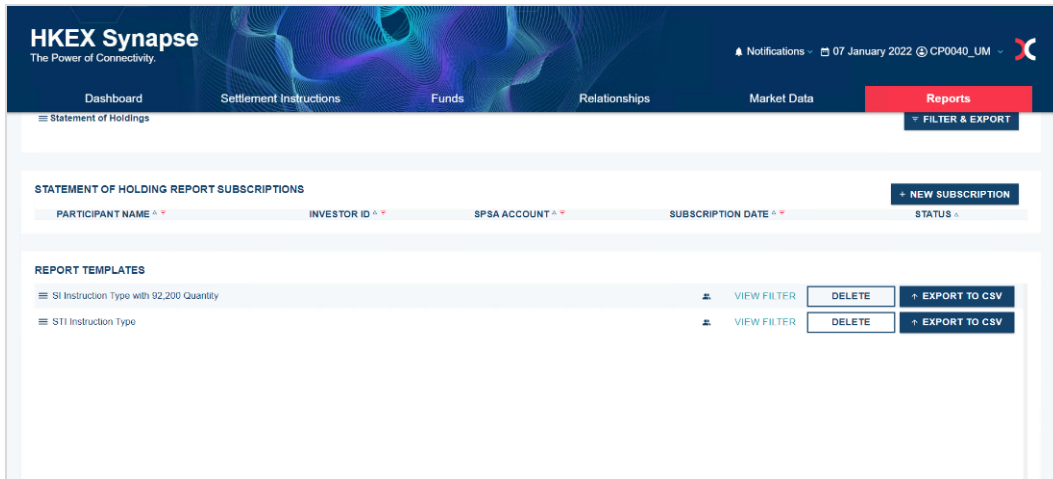


- b. People icon – these are saved report templates created and shared with multiple people within the entity



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





Note: the report template will be deleted even if it is shared with multiple people within an entity, and such record under the Report Template section will also be removed for all users within that entity upon the deletion. The individuals with who the report is shared will not receive a notification for the deletion of the report template.

11. Error Message

In this section, we document the error messages built into Synapse and its business rules, and provide suggestions for catering the message. For examples,

1. When encountering the error message “*No action required by your end [Category (number)]*”, the participant could refer to the table below to indicate their corresponding use case/scenario for further communication with the checker.
2. When encountering the error message “*System busy. Please try again later.*”, the participant should wait and resubmit the request later.
3. When encountering the error message “*Unexpected error encountered. Please contact support. Error reference: [Trace ID].*”, the participant should capture the Trace ID shown in the error and contact Synapse Support. Further details can be referred in the table below.

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

Error ID	Categories	Error Message	Use Case	Business rules
				- Rejecting Fund Profile Proposal not in pending approval while status is LC Maker Approved or LC Rejected
			1.11	This error id is encountered due to: - Rejecting Fund Profile Proposal not in pending approval or GC Rejected
			1.12	This error id is encountered due to: - Unexpected status Variable Fee Proposal upon checker approval/rejection
			1.13	This error id is encountered due to: - Unexpected status SOH Subscription Proposal upon checker approval/rejection
			1.14	This error id is encountered due to: - Unexpected status Broadcast Message Proposal upon checker approval/rejection
2	Unexpected status upon checker amendment	No action required by your end [Category 2]	2.1	This error id is encountered due to: - Unexpected status Fund Profile Proposal upon checker amendment
			2.2	This error id is encountered due to: - Unexpected status Fund Proposal upon checker amendment
			2.3	This error id is encountered due to: - Unexpected status Standard Fee Proposal upon checker amendment
3	Not Active	No action required by your end [Category 3]	3.1	This error id is encountered due to: - Billing Fee is not Active during amendment
			3.2	This error id is encountered due to: - Fund Data is not Active during inactivation
			3.3	This error id is encountered due to: - Fund Data is not Active during amendment
4	System busy	System busy. Please try again later.	4.1	This error id is encountered due to: - System busy. Participant should wait and resubmit the request later.
5	Unexpected error encountered	Unexpected error encountered. Please contact support. Error reference: [Trace ID] .	5.1	This error id is encountered due to: - Unexpected backend error. Participant should capture the Trace ID and contact the Synapse Support Team Note: The participant must provide the Trace ID from the error message when requesting Synapse Support.

12. API Connectivity

12.1 API Specification Documentation

Synapse applicants / Existing Synapse users who will access Synapse via API are required to develop their system according to the following documentation.

Document	Description
API Specification and Programming Guide – Functional Drop 6 (Jan 2024)	Functionality of the API and the recommended programming guidelines for participants.
API Specification - Java and JavaScript sample codes	Sample program to illustrate how to execute different Synapse API functionalities.
OpenAPI and AsyncAPI Specification	OpenAPI and AsyncAPI Specifications that cover features described in the API Specification and Programming Guide.
Sample Requests and Responses for Core Functionality	Sample requests and responses to the core functionalities described in the API Specification and Programming Guide.
Single Combined View (SCV) Business Description – Functional Drop 6 (Jan 2024)	Detail description of each SCV field and corresponding visibility matrix.

Synapse applicants / Existing Synapse users can reach out to HKEX Synapse Operations Team at synapse_support@hkex.com.hk for accessing the above API documentation.

13. ISO Connectivity

13.1 How to submit CUG request in MySwift

Please refer to “SWIFT Connectivity Setup Guide” available on HKEX Synapse website.

13.2 How to access ISO Specification via Swift’s MyStandards

Please refer to “SWIFT Connectivity Setup Guide” available on HKEX Synapse website.

14. Billing of Synapse Fees

Synapse Fees are waived until further notice. Upon Hong Kong Securities Clearing Company Limited (“HKSCC”) decides to end that fee waiver, this section will describe the billing process for Synapse related fees.