

24 February 2025

# **HKEX Synapse** User Guide



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### Versions

Publication Date	Version
24 Feb 2025 [Current]	<ul> <li>Version 1.5 published</li> <li>Add section 10.1.3 Day-begin Master SPSA Sellable Balance Report (G29) to describe the display of the sellable balance report under Reports tab</li> </ul>
16 Sep 2024	<ul> <li>Version 1.4 published</li> <li>Update section 4.3 Synapse Dashboard <ul> <li>Remove the wording "No Further Processing" from the CCASS exceptions alert message</li> </ul> </li> <li>Update section 5.1 Fund Onboarding <ul> <li>Update the length size GC's Account at LC to 15</li> </ul> </li> <li>Update section 6.1 Account Onboarding <ul> <li>Update section 7.2.1.2 and 7.2.1.3 for the addition of new UI field "EP's account at CP" in the KEY SETTLEMENT DETAILS tab under PARTICIPANT DETAILS</li> </ul> </li> <li>Update section 7.3.1.4 and 7.3.1.5 SI/STI Approvals and Rejection for GC and LC <ul> <li>Describe the extraction logic of how EP's account at CP is retrieved from the settlement notification from DTCC via SWIFT MT541 and MT543</li> <li>Provide background and a description of the new health check workflow that is triggered when the approval process starts. Specify the alert message will be promoted when any non-fatal error(s) is/are found in SI Health Check tab</li> <li>Direct Synapse users to reference to section 7.6 for recommendations regarding the failure reasons</li> </ul> </li> <li>Update section 7.6 Health Check to add a new health check item: "EP's account at CP"</li> <li>Describe the new business validation implemented to verify if EP's account at CP is presented in the SN from DTCC and its resolution</li> <li>Add screenshots from "SI Health Check" that displays the failure reason</li> </ul>
05 Feb 2024	<ul> <li>Version 1.3 published</li> <li>Remove scenarios of manual amendment notification under section 4.3 Synapse Dashboard</li> <li>Remove the alternative approach to select individual AM when submit the SOH subscription request via system post system</li> </ul>

Publication Date	Version
	<ul> <li>enhancement under section 10.2 Statement of Holding Report Subscriptions</li> <li>Remove the note that reminder user not to approve cancelled SN for a SI/STI as cancelled SN will no longer available for approval under section 7.3 SI/STI Approvals and Rejections</li> </ul>
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04 Oct 2023	<ul> <li>Version 1.1 published</li> <li>Enriched the content of application behaviour of logging in to Synapse and refreshed the screen capture of HKEX Access Management Portal under section 4.1 Login to Synapse</li> <li>Added the functional ID and role type in HKEX Access Management Portal under section 4.2 Synapse User Types and Role Types to provide reference for access and role management</li> </ul>
18 Sep 2023	First version published

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## 1. Introduction

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

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

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

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

# 2. System Availability

## 2.1 Operating Hours

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

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

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

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

## 2.2 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> <li>Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li> <li>All other functions within Synapse will remain normal and available</li> <li>Synapse will resume the interface with CCASS two hours following the discontinuation of the Signal / Extreme Conditions /Warning</li> </ul>
Signal / Extreme Conditions / Warning issued before 9:00 AM and cancelled after 12:00 Noon	<ul> <li>Synapse interface with CCASS (including settlement instruction transmitted from Synapse to CCASS and settlement instruction status update transmitted from CCASS to Synapse) will not be available. Fully approved settlement instructions will be queued in Synapse and sent to CCASS after Synapse interface with CCASS is resumed</li> <li>All other functions within Synapse will remain normal and available</li> <li>No Synapse service for the day in CCASS and that day will not be treated as a Settlement Day</li> </ul>
Signal / Extreme Conditions / Warning issued at or after 9:00 AM	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.
- The buy-side (i.e. AM, GC and LC) and sell-side (i.e. EP and CP) need to onboard as the Synapse Users. For AM, EP and CP, they may appoint outsourcing operators to perform Synapse operations on their behalf (i.e. Asset Manager Middle Office Outsourcing Operator (AMOO) for AM, Exchange Participant Middle Office Outsourcing Operator (EPOO) for EP and Account Operator (AO) for CP, collectively known as Designated Service Providers).
- 3. After Synapse Users are onboard to Synapse,
  - a. for buy-side chain users, they need to set-up their buy-side relationship by onboarding the fund and setting up data relevant to that fund. After the fund is onboarded in Synapse successfully, Synapse can start to consume the settlement instructions of the respective fund from the matching platform for further processing.
  - b. for sell-side chain users, they need to set-up their sell-side relationship by onboarding the account and setting up data relevant to that account. After the account is onboarded in Synapse successfully, Synapse can start to consume the settlement instructions of the respective account from the matching platform for further processing.
- 4. AM and EP perform block and allocation matching on the eligible matching platform provider side, with Standing Settlement Instruction (SSI) enrichment.
- 5. Synapse consumes the "match agreed" allocations from matching platform with SSI enrichment and then starts orchestrating the settlement instructions within Synapse, based on the fund and account onboarded via step 3. Please note if the newly listed China Connect Securities do not possess ISIN initially, these securities will not be applicable to Synapse.
- 6. Upon consumption of the "match agreed" allocations with SSI enrichment from the eligible matching platform provider, and thus generating the single source of truth, Synapse creates settlement instructions to GC, LC and CP. A single common reference, Unique Transaction Identifier (UTI), will be utilised across all instructions generated for all parties, on matching platform provider side, in Synapse and a truncated version of it in CCASS.
- 7. GC, LC and CP perform their internal checks. They are required to provide either an "Acknowledged Accepted" or a "Rejected" status with reason to Synapse.
- 8. Synapse will make available all "Acknowledged Accepted" and/or "Rejected" status with reason to all Synapse Users.
- 9. Synapse generates a settlement instruction (SI) to the HKEX Central Clearing and Settlement system (CCASS)
  - a. upon receiving "Acknowledged Accepted" from both GC and LC, Synapse

generates an SI to CCASS on behalf of the LC.

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

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

## 4. Getting Started

## 4.1 Login to Synapse



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

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

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

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

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

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

HKEX Synapse The Power of Connectivity.		5	Notificati	ons 🗸 🛱 16 November 202	21 @ CP0039_UM ~ 💙	ς
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
DASHBOARD						

#### Sell-side Dashboard:

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



# 4.2 Synapse User Types and Role Types

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

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

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

Function ID & Role Type in HKEX Access Management Portal	Role Type	Description	Available Functions
EU_DataManager (maker role)	Data Manager Input Only User ('Maker')	<ul> <li>User can input data and play the role of "maker"</li> <li>User cannot authorize any data input</li> <li>Users cannot input data outside of their Data Manager input only user role</li> </ul>	5 Funds 6 Accounts 8 Relationships 9 Market Data 10 Reports
EU_DataManager (checker role)	Data Manager Input Authorise User ('Maker' or 'Checker')	<ul> <li>User can authorize data input by Data Manager input only user (maker)</li> <li>User plays the role of "checker" on those functions which require the Data Manager maker-checker functionality</li> <li>User can also input data as a "maker." [Note: a different Data Manager input authorize user (i.e., checker) would have to authorize their input]</li> <li>User cannot input or authorize data outside of their Data Manager input authorize user role</li> </ul>	5 Funds 6 Accounts 8 Relationships 9 Market Data 10 Reports

EU_Transaction Balances (maker role)	Transaction Balance Input Only User ('Maker')	<ul> <li>User can input data and play the role of "maker"</li> <li>User cannot authorize any data input</li> <li>User cannot input data outside of their Transaction Balances User input only user role</li> </ul>	7 Instruction Processing 8 Relationships 9 Market Data 10 Reports
EU_Transaction Balances (checker role)	Transaction Balance Input Authorise User ('Maker' or 'Checker')	<ul> <li>User can authorize data input by Transaction Balance input only user (maker)</li> <li>User plays the role of "checker" on those functions which require the Transaction Balance maker-checker functionality</li> <li>User can also input data as a "maker." [Note: a different Transaction Balance input authorize user (i.e., "checker") would have to authorize their input]</li> <li>User cannot input or authorize data outside of their Transaction Balance input authorize user role</li> </ul>	7 Instruction Processing 8 Relationships 9 Market Data 10 Reports
EU_SYNUser (enquiry role)	Read Only User	<ul> <li>User can only view / access data and information to which their firm is allowed access</li> <li>User does not have ability to input or authorize changes</li> <li>Note: user can also be a company that has presented an ISO message or API call that has been restricted due to read only policy</li> </ul>	5 Funds 6 Accounts 7 Instruction Processing 8 Relationships 9 Market Data 10 Reports

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

#### 1. Buy Side

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

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

#### AM:

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

HKEX Synapse The Power of Connectivity.					🗎 23 August 2	🖻 23 August 2022 💿 synuall071 synuall071 🔒 🔰	
	Dashboard Set	tlement Instructions	Funds	Relationships	Market Data	Organization: SynComp511 ACTING A S:	
DAS	HBOARD					Global Custodian	
	SETTLEMENT INSTRUCTIONS®	1	FUND PROFILE S		NOTIFICATIONS	Function 1 : Transaction-Balances Role Type: Input-Only	
	15 Allocation Received 3 Processing in Synapse 1 Unmatched 0 Matched		0 Awaiting GC Maker Approval 0 Awaiting GC Checker Approval 0 Awaiting LC Approval		<ul> <li>Funds (13)         PREVIEW ~         <li>Participants (0)             PREVIEW ~</li> <li>Relationships (0)             PREVIEW ~</li> <li>CCASS Exceptions (0)             PREVIEW ~</li> </li></ul>	<ul> <li>Function 2 : SYN User</li> <li>Role Type Input-Only</li> <li>Partian Manager</li> <li>Role Type Input-Only</li> <li>Collegant</li> </ul>	
	9 Settled 2 Cancelled				SIs (153) PREVIEW -		

## LC:

Dashboard     Settlement Instructions     Funds     Relationships     Mark       DASHBOARD     SETTLEMENT INSTRUCTIONS®     FUND PROFILES®     NOTIFICATIONS       15     Allocation Received     0     Availing LC Maker Approval     Preview ~       3     Processing in Synapse     0     Availing LC Checker Approval     Participants       1     L     Availing LC Checker Approval     Participants	🗂 23 August 2022 ④ synuat141 synuat141 🔬	HKEX Synapse					
SETTLEMENT INSTRUCTIONS®     FUND PROFILES®     NOTIFICATION       15     0     A Funds (12)       Allocation Received     Awaiting LC Maker Approval     PREVIEW ~       3     0     Awaiting LC Checker Approval     Participants       Processing in Synapse     Awaiting LC Checker Approval     PREVIEW ~       1     Awaiting LC Checker Approval     PREVIEW ~		Funds Relationships I	Settlement Instructions	Dashboard			
15     0     + Funds (12)       Allocation Received     Awaiting LC Maker Approval     PREVIEW ~       3     0     + Participants       Processing in Synapse     Awaiting LC Checker Approval     + Participants       1     + Relationship	Identity: Local Custodian			DASHBOARD			
Allocation Received Availing LC Maker Approval PREVIEW - 3  Processing in Synapse Availing LC Checker Approval PREVIEW - 1  Availing LC Checker Approval Availi	IS Punction 1: Data Manager Role Type: Input-Only	FUND PROFILES® NOTIFIC	ONS® FU	SETTLEMENT INSTRUCT			
Umatched PREVIEW - O Matched PREVIEW - 9 Settled Status	Single Constraints     Single Constraint	Awaiting LC Maker Approval     PREVIEW       O     Awaiting LC Checker Approval       Awaiting LC Checker Approval     Relation       PREVIEW     Relation       PREVIEW     CCASS       PREVIEW     Sils (15)	Aw O	Allocation Received 3 Processing in Synapse 1 Unmatched 0 Matched 9			
2 Cancelled							

#### AMOO:

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

#### 2. Sell Side

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

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

EP:

	HKEX Synapse The Power of Connectivity.						
				Dubringshing	Madat Data	In Organization: SynComp531	
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS: Identity: Exchange Participant	
DAS	HBOARD					Function 1 : SYN User	
	SETTLEMENT INSTRUCTIO	N S 🖻	ACCOUNTS + New Account		NOTIFICATIONS	Role Type: Input-Only	
	15 Allocation Received		O Awaiting EP Checker Approval		Accounts (6)	Function 2 : Transaction-Balances	
	5 Processing in Synapse		O Awaiting CP Approval		Participants (0) PREVIEW	Function 3 : Data Manager	
	1 Unmatched				Relationships (0)	Clegout	
	0 Matched				CCASS Exceptions (0)		
	8 Settled				<ul> <li>SIs (153)</li> </ul>		
	1 Cancelled				PREVIEW 👻		

#### CP:

e Power of Connectivity.			2022 (a) synuat281 synuat281 Organization: SynComp541
Dashboard Settlemer	nt Instructions Accounts Relation	ships Market Data	ACTING AS:
SHBOARD			Identity: Clearing Participant
			Function 1 : SYN User
SETTLEMENT IN STRUCTION SE	ACCOUNTS®	NOTIFICATIONS	Role Type: Input-Only
15	0	Accounts (6)	Function 2 : Transaction-Balances
Allocation Received	Awaiting CP Maker Approval		Role Type: Input-Only
5 Processing in Synapse	O Awaiting CP Checker Approval	Participants (0)     PREVIEW      ▼	<ul> <li>Function 3 : Data Manager</li> </ul>
1		Delakarakira (D)	Role Type: Input-Only
Unmatched		Relationships (0) PREVIEW	்Logout
0		CCASS Exceptions (0)	
Matched		PREVIEW -	
8 Settled		🌲 SIs (153)	
1		PREVIEW 👻	
Cancelled			

#### EPOO:

	EX Synapse				☐ 24 August 2022	synual431 synual431     Organization:     SynComp552	
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:	
DASH	IBOARD					EP Outsourcing Operator	
	SETTLEMENT INSTRUCTIONS	Ð	ACCOUNTS + New Account	nt	NOTIFICATIONS	Eunction 1 :     SYN User     Role Type:	
	0 Allocation Received		<b>O</b> Awaiting EP Checker Approval		Accounts (0)	Role Type: Input-Only Function 2 : Data Manager	
	O Processing in Synapse		0 Awaiting CP Approval		Participants (0) PREVIEW ▼	Role Type: Input-Only     Function 3 : Transaction-Balances	
	0 Unmatched				Relationships (0)	Role Type: Input-Only	
	0 Matched				CCASS Exceptions (0)	் <b>Logout</b>	
	0 Settled				Sis (0)     PREVIEW		
	0 Cancelled				PREVIEW ¥		

AO:

HKEX Synapse The Power of Connectivity.			<b>⊟</b> 24	August 2022 ⊗ Acting As: SynComp542 ∨	synual351 synual351     Grganization:     SynComp551
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
DASHBOARD					Account Operator
SETTLEMENT INSTRUCTIO	N S ®	ACCOUNTSE		NOTIFICATIONS	SYN User Role Type: Input-Only
0 Allocation Received		O Awaiting CP Maker Approval		Accounts (0) PREVIEW	Function 2 : Data Manager
O Processing in Synapse		O Awaiting CP Checker Approval		Participants (0) PREVIEW ▼	Role Type: Input-Only
0 Unmatched				Relationships (0)	Cole Type: Input-Only
0 Matched				CCASS Exceptions (0)	Contraction
0 Settled				A SIs (0)	
0 Cancelled				PREVIEW 👻	

## 4.3 Synapse Dashboard

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

#### 4.3.1 Settlement Instructions

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

Section Sub- 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	Shows the total number of all Settlement Instructions pending approval or being rejected (please see below for list of Synapse rejection reasons) such that Settlement Instructions have not yet been submitted to CCASS, i.e., no CCASS Input Number has been received yet, on current HKT business day and within the past 31 calendar days.
	Transactions with the following Synapse status are included into that counter:
	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
	<ul> <li>RJCE – rejected by CCASS – transaction is rejected by CCASS as it carries information not recognized by CCASS, or due to system error.</li> </ul>
	Note: If the SCV is with Synapse status = CTHP (Cancelled By Third Party) but with no CCASS status (i.e., the SN is cancelled before being approved by GC/LC/CP (before directed to CCASS)), it will show as "Processing" in the list view instead of "Cancelled". If such SCV is subsequently being approved by GC/LC / CP then Synapse will send to CCASS and the unmatched / matched / settled counter will also be updated subsequently. Please refer to Section 7.5 for different CCASS

	status.
Unmatched	Shows the total number of Settlement Instructions (SI) with CCASS status "Unmatched" on current HKT business day and within the past 31 calendar days.
	Transactions with the following CCASS status are included into that counter:
	<ul> <li>NCRR – settlement currency unmatched</li> <li>DSEC – stock code/ISIN unmatched</li> <li>DQUA – quantity unmatched</li> </ul>
	<ul> <li>CMIS – no possible matching SI found</li> <li>OTHR – other</li> <li>FRAP – payment instruction unmatched</li> </ul>
	<ul> <li>PODU – possible matching SI but not earmarked as pairs</li> <li>SAFE – client A/C no. unmatched</li> <li>DMON – money value unmatched</li> </ul>
	<ul> <li>DDAT – settlement date unmatched</li> <li>DELN – transaction direction unmatched</li> </ul>
Matched	Shows the total number of Settlement Instructions (SI and STI) with CCASS Status "Matched" on current HKT business day and within the past 31 calendar days.
	The CCASS statuses supported by Synapse are:
	<ul> <li>MTCH – matched</li> <li>CYCL – matched – payment validated</li> <li>CVAL – matched – RDP shares on hold</li> <li>PREA – matched – matched on hold or counterparty instruction on hold</li> <li>CAIS – pending for transfer (STI only)</li> </ul>
Settled	Shows the total number of Settlement Instructions (SI and STI) with CCASS Status "Settled" for SI or "Transferred" for STI on current HKT business day. If the settlement instruction settled on current HKT business day is not created today (e.g. created previously on T-1), the "Settled" counter will not be reflected.
	The CCASS statuses supported by Synapse are:
Cancelled	SETD – settled     Shows the total number of all cancelled transaction of SI and STI (all
	end of lifecycle statuses) on current HKT business day which is the same as the creation date. Cancelled SI / STI before approval will not be

reflected.
The CCASS statuses supported by Synapse are:
<ul> <li>CSUB – cancelled – revoked SI by counterparty</li> <li>CANS – cancelled – SI/STI purged</li> <li>CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> </ul>

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

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

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

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

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

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

#### 4.3.4 Notifications

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

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

	Settlement Instruction is pending cancellation					
	Settlement Instruction is settled in CCASS, and no cancellation can					
	be taken					
CCASS	CCASS Exception notifications include:					
Exceptions	SI system error					
(LC, CP, AO	STI system error					
only)	Manual SI field amendment by LC / CP in CCASS.					
	Manual ISIN amendment					
	Manual quantity amendment					
	Manual settlement currency amendment					
	Manual securities movement type amendment					
	Manual UTI amendment					
	Manual counterparty amendment					
	Manual client account no. amendment					
	Manual payment type amendment					
	<ul> <li>Please note Synapse will continue to update and reflect the status of the amended SI (but will not show the updated value of the fields). Manual amendment notifications will also be created under the following scenarios that are not related to the amendment of SI fields in CCASS:</li> <li>1) Field "97A SAFE" in the BUYR/SELL Block of the Sell-side SN prepared by EP exceed 15 characters (Limitation of CCASS for Client Account Number)</li> <li>2) CA conversion causing possible ISIN / quantity change of the SI</li> </ul>					

## List of Notifications:

Туре	Νο	Display Tag	When Display	Applicable User Type
Funds	1	[AM] updated fund status of [FUND NAME]. Effective on [EFFECTIVE DATE].	After AM/ AMO Checker approves the fund status amendment.	AM, AMOO, GC, LC
	2	Fund profile inactivation will be effective on [EFFECTIVE DATE].	One business day before the effective date of a fund profile inactivation.	AM, AMOO, GC, LC
	3	LC re-appointment of [FUND NAME] is completed. Effective	After LC Checker approves the amended fund profile.	GC, LC

Туре	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: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	After Synapse consumed the cancellation SN from CTM.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
	3	Settlement Instruction (Trade ID: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	After Synapse checked the settlement status of this Settlement Instruction in CCASS and confirmed that the instruction is settled and no cancellation can be taken.	AM, AMOO, GC, LC, EP, EPOO, CP, AO
CCASS 1 Exceptions		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

Туре	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" +	When the following CCASS API error code is encountered:	LC, CP, AO
		"MESSAGE" : [SI Number]	2037: Counterparty invalid (cannot be the same participant as the created one)	
			2042: Settlement date must be before the delisted date of the stock	
			2044: Stock already delisted	
			2072: Settlement date must by on / after clearing admission date of stock	

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

# 5. Funds

# 5.1 Fund Onboarding

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

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

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

#### 5.1.1 Asset Managers (AM)

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



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

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

HKEX Synapse			23 August 2022 (a) synuat011 synuat011     Organization:     SynComp502
Dashboard Set	ttlement Instructions Funds	Relationships Market Da	
SHBOARD			
SETTLEMENT INSTRUCTION SO	FUND PROFILES + N	lew Fund NOTIFICATIONS	<ul> <li>Function 1 : SYN User</li> <li>Role Type: Input-Only</li> </ul>
0 Allocation Received 0 Processing in Synapse 0 Ummatched 0 Matched 0	O Awaiting AM Checker Approv O Awaiting GC Approval O Awaiting LC Approval	Participants (0)     PREVIEW      PREVIEW      Relationships (0)     PREVIEW      CASS Exceptio     PREVIEW	<ul> <li>Function 2: Transaction Balances</li> <li>Res Type: Input Only</li> <li>Function 3: Data Manager</li> <li>Rose Type: Input Only</li> <li>Ulkegent</li> </ul>
Settled O Cancelled		Sis (0) PREVIEW ¥	

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

HKEX The Power of Co	Synapse		S		<b>=</b> 23	August 2022 🕢 synuat011 synuat011 🗸 🚶
Da	shboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
FUNDS	<b>O</b> Awaiting AM Cl	0 hecker Approval Awaiting GC App	O roval Awaiting LC Approva	ı.		Q Search Generate Report + New Fund
FUND ID A T	FUND NAME A 🔻	GC NAME A T FUND ACCOU	NT AT GC <sup>V</sup> ▼ INV	YESTOR ID ≜ ₹ SPSA ≜ ₹ F	UND EFFECTIVE DATE	AM A GC LC STATUS

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

HKEX Synapse		🗖 23 August 2022 🛞 synual011	1 synuat011 🗸 🔀
lew Fund			Cancel Next
Ste	p 1/2 — Please provide the following Fund information:		
	FUND DETAILS		
	* Fund Name :	Fidelity Asia Fund 2679	
	Fund LEI :	549300N66LYETIGSH359	
	Fund Umbrella :	Fidelity Global Fund	
	Fund Domicile :	НК	
	* Fund ID :	342679	
	Fund Alternate ID :		
	DEFAULT SETTLEMENT MODE :		
IKEX Synapse re Power of Connectivity.		a 23 August 2022 🍙 synuat0 11	l synuat011 🗸 💢
Fund			Cancel Nex
	Fund Domicile :	НК	
	* Fund ID :	342679	
	Fund Alternate ID :		
	DEFAULT SETTLEMENT MODE :		
	* Settlement Mode - Buy Trade :	DVP 🖕	
	* Settlement Mode - Sell Trade :	FOP 🕌	
	FUND PROFILE PROCESSING DETAILS :		
	* Fund Effective Date :	2021-06-06	
EX Synapse		🗖 23 August 2022 ()) synuat0 11	
nd Ste	p 2/2 — Please provide the following information to create the fund's first Fund Pro	Cance	el ← Back Submit
	GLOBAL CUSTODIAN DETAILS:		
	* GC BIC :	FIVCGB21XXX	
	* Fund Account at GC :	9004859	
	GC Name :	SynComp511	
	GC LEI :	222200N66LBBAAGSH888	
	GC DN :	cn=invfunds,ou=80a,o=creschzz	
	LOCAL CUSTODIAN DETAILS:		
	* Invasion ID -	300043	

HKEX Synapse The Power of Connectivity.		🖻 23 August 2022 @ symual011 symual	ni ~ 🗙
New Fund		Cancel (+ Ba	ick Subm
	GC DN :	cn=invfunds,ou=80a,o=creschzz	
	LOCAL CUSTODIAN DETAILS:		
	* Investor ID :	300013	
	SPSA:	8000001	
	LC Name :	SynComp521	
	LC CCASS ID :	C00016	
	LC LEI :	621344ABC32JRTFGR421	
	LC BIC :	JMPPMJ55XXX	
	LC DN :	cn=invfunds,ou=80a,o=creschzz	

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

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

Field Name	Description	Туре	Size	Mandatory	Syntax	Contract
				or Optional (M/O)	Validation	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	0	N/A	N
Fund Account at GC	Account No. for Fund at GC	String	20	М	N/A	Y – For Fund Profile
Global Custodian BIC	BIC Code of GC. AM can only select a GC that has been onboarded	String	11	М	Min 8 characters; max 11 characters	N
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	Μ	3 characters	N
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	Μ	3 characters	Ν
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	М	YYYY-MM-DD	N
Investor ID	Investor ID for the Fund. The field Is a unique number assigned to each SPSA account by HKEX Note: Synapse will populate the following fields based on the Investor ID: • SPSA Account #	String	6	Μ	N/A	Ν

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

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

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

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

5. The AM Data Manager Input Authorise User will be informed in two ways:
a. Dashboard view: increased counter in the Fund Profiles section under "Awaiting AM Checker Approval"



b. Funds List view: increased counter under "Awaiting AM Checker Approval", changed icon from '—' to 'O' in the AM column, and changed status to "Pending AM Checker Approval"



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

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

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

arding Details: FUND ID 342679				←Back to Fund List × Reject
Onboarding Status:				× Delete Fund Creation
AM Maker: Approved ~	AM Checker: Pending Approval	GC:Pending	LC: Pending	Status: Inactive
FUND DETAILS			EUND PROFILE 1 DETAILS	
			GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 2679		Fund Account at GC:	900485
Fund LEI:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH88
Fund Umbrella:	Fidelity Global Fund		GC BIC:	FIVCGB21XXX
Fund Domicile:	HK		GC DN:	cn=invfunds,ou=80a,o=creschz
Fund ID:	342679			
Fund Alternative ID (Optional):	342668		1	
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	30001
Collinear Market Days Trades	51.0		LC Name:	SynComp52
Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	DVP		LC CCASS ID:	C0001
Settlement Mode - Sell Trade:	FOP		LC LEI:	621344ABC32JRTEGR42
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XX
TOND FROMEE PROCESSING DETRIES.			LC DN:	cn=invfunds.ou=80a.o=creschz
Fund Effective Date:	2021-06-06		SPSA:	800000

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.

arding Details: FUND ID 342679				←Bac
Onboarding Status:				× Delete Fund Profile
AM Maker: Approved ~	AM Checker: Approved ~	GC:Pending	LC:Pending	Status:Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
			GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
Frend Hames	Fidelity Adv Fired 2070		GC Name:	SynComp51
Fund Name: Fund LEI:	Fidelity Asia Fund 2679 549300N66LYETIGSH359		Fund Account at GC:	900485
Fund Umbrella:	Fidelity Global Fund		GC LEI:	222200N66LBBAAGSH88
Fund Domicile:	Fidelity Global Fullo		GC BIC:	FIVCGB21XX
Fund ID:	342679		GC DN:	cn=invfunds,ou=80a,o=crescha
Fund Alternative ID (Optional):	3426/8			
Fund Alternative ID (Optional):	342000		LOCAL CUSTODIAN DETAILS:	
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	30001
Settlement Mode - Buy Trade:	DVP		LC Name:	SynComp52
Settlement Mode - Sell Trade:	EOP		LC CCASS ID:	C0001
			LC LEI:	621344ABC32JRTFGR42
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XX
			LC DN:	cn=invfunds,ou=80a,o=crescha
Fund Effective Date:	2021-06-06		SP SA:	800000

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

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

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

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

nboarding Details: FUND ID 553182				Gack to Fund List      × Reject
Onboarding Status:				× Delete Fund Creation
AM Maker: Approved ~	AM Checker: Pending Approval	GC:Pending	LC:Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 3182		Fund Account at GC:	543182
Fund LEI:	549300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH889
Fund Umbrella:	Fidelity Global Fund		GC BIC:	FIVCGB21XXX
Fund Domicile:	HK		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:	553182			
Fund Alternative ID (Optional):	777777		1	
			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:				
			Investor ID: LC Name:	300013
Settlement Mode - Buy Trade:	DVP		LC Name: LC CCASS ID:	SynComp521 C00016
Settlement Mode - Sell Trade:	DVP		LC LEI:	621344ABC32JRTEGR421
			LC LEI: LC BIC:	521344ABC32JRTFGR421 JMPPMJ55XXX
FUND PROFILE PROCESSING DETAILS:			LC DN:	cn=invfunds.ou=80a.o=creschzz
	2021-06-05		SPSA:	cn=invtunds,ou=s0a,o=crescn22 8000001

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

HKEX Synapse The Power of Connectivity.				m 26 August 2022 🕲 synuat003 synuat003 🗸 💢
Initial Onboarding Details: FUND ID 553182				←Back to Fund List ×Reject ✓Approve
	FUND ONBOARDING REJECTION:			
Onboarding Status:	Discourse and a second balance			× Delete Fund Creation
AM Maker: Approved ~	Please provide a comment below:			Status: Inactive
FUND DETAILS				
	Comment			
FUND DETAILS:				
Fund Name:				SynComp511
Fund LEI:				543182
Fund Umbrella:				222200N66LBBAAGSH889 FIVCGB21XXX
Fund Domicile:				cn=invfunds.ou=80a.o=creschzz
Fund ID:				
Fund Alternative ID (Optional):			Cancel Submit	
DEFAULT SETTLEMENT MODE:				300013
Settlement Mode - Buy Trade:				SynComp521
Settlement Mode - Sell Trade:				C00016
				621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAIL				JMPPMJ55XXX
		LC DN: SPSA:		cn=invfunds,ou=80a,o=creschzz 80000001
Fund Effective Date:	2021-06-05	SPSA:		8000001

HKEX Synapse The Power of Connectivity.				26 August 2022 @ synuat003 synuat003 🗸 💢
Initial Onboarding Details: FUND ID 553182				+Back to Fund List ×Reject
	FUND ONBOARDING REJECTION:			
Onboarding Status: AM Maker: Approved ~	Please provide a comment below:			X Delete Fund Creation
FUND DETAILS				
	Reason to reject			
FUND DETAILS:				SynComp511
Fund Name:				543182
Fund LEI: Fund Umbrella:				222200N66LBBAAGSH889
Fund Ombrella: Fund Domicile:				FIVCGB21XXX
Fund ID:				cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):			Cancel Submit	
DEFAULT SETTLEMENT MODE:				
				300013 SynComp521
Settlement Mode - Buy Trade:				C00016
Settlement Mode - Sell Trade:				621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAIL				JMPPMJ55XXX
		LC DN:		cn=invfunds,ou=80a,o=creschzz
Fund Effective Date:	2021-06-05	SP SA:		8000001

- 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"

l	Dashboard	Settlement l	nstructions	Funds		Relationships	м	arket [	Data	Reports	
FUNDS	3 Awaiting AM C	hecker Approval	1 1 Awaiting GC Approval Awa	iting LC Approval						Q Search Generate Report	+ New Fund
FUND ID A 🔻	FUND NAME A T	GC NAME A T	FUND ACCOUNT AT GC 7	INVESTOR ID	SPSA A T	FUND EFFECTIVE DATE	AM ^	GC △	LC ^	STATUS A T	
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	~	1	~	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	~	~	Active	
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	
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	1	•	LC Maker Approved	DETAILS >
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	-	-	-	AM Checker Rejected	DETAILS >
553181	Fidelity Asia Fund 3181	SynComp511	543181	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	~	~	~	Active	DETAILS >
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	~	-	-	AM Approved	DETAILS >
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	~	~	~	Active	DETAILS
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	~	~	~	Active	DETAILS >
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	1	1	Active	

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

arding Details: FUND ID 553182			←Back
Onboarding Status:			$\times$ Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected ×	GC:Pending LC:Pending	Status: Inactive
FUND DETAILS	✓ Edt	FUND PROFILE 1 DETAILS	🖌 Edt
FUND DETAILS:		GLOBAL CUSTODIAN DETAILS:	
		GC Name:	SynComp511
Fund Name:	Fidelity Asia Fund 3182	Fund Account at GC:	543182
Fund LEI:	549300N66LYETIGSH359	GC LEI:	222200N66LBBAAGSH889
Fund Umbrella:	Fidelity Global Fund	GC BIC:	FIVCGB21XXX
Fund Domicile:	НК	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:	553182		
Fund Alternative ID (Optional):	777777		
		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:	300013
Settlement Mode - Buy Trade:	DVP	LC Name:	SynComp521
Settlement Mode - Sell Trade:	DVP	LC CCASS ID:	C00016
outerine mode out muuti	541	LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:		LC BIC:	JMPPMJ55XXX
		LC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Effective Date:	2021-06-05	SP SA:	8000001

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.

CEX Synapse			🗂 26 August 2022 ② synuat001 synuat001 🗸
Onboarding Details: FUND ID 553182			← Back to Fu
Onboarding Status:			× Dateta Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected × 0	GC:Pending LC:Pending	Status: Inactive
FUND DETAILS	Comment:	FUND PROFILE 1 DETAILS	🖌 Edt
FUND DETAILS:	Reason to reject	GLOBAL CUSTODIAN DETAILS:	
Fund Name:	Fidelity Asia CLOSE	GC Name: Eurod Account at GC:	SynComp511 543182
Fund LEI:	549300N66LYE	GC LEI:	222200N66LBBAAGSH889
Fund Umbrella:	Fidelity Global Fund	GC BIC:	FIVCGB21XXX
Fund Domicile:	HK	GC DN:	cn=invfunds.ou=80a.o=creschzz
Fund ID:	553182	0001	
Fund Alternative ID (Optional):	777777		
		LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:	300013
Cottlement Made Dow Tender	DVP	LC Name:	SynComp521
Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	DVP	LC CCASS ID:	C00016
settlement mode - seil Trade:	DVP	LC LEI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:		LC BIC:	JMPPMJ55XXX
- TOND FROMEE FROCESSING DETAILS:		LC DN:	cn=invfunds.ou=80a.o=creschzz
Fund Effective Date:	2021-06-05	SPSA:	8000001

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

HKEX Synapse The Power of Connectivity.		🗂 26 August 2022 @ synuat001 synuat001 🗸 🗙	
Initial Onboarding Details: FUND ID 553	1182	Cancel Next	
	Fund Domicile :	НК	
	* Fund ID :	553182	
	Fund Alternate ID :		
	DEFAULT SETTLEMENT MODE :		İ.
	* Settlement Mode - Buy Trade :	DVP 🖕	L
	* Settlement Mode - Sell Trade :	DVP	L
	FUND PROFILE PROCESSING DETAILS :		
	* Fund Effective Date :	2021-06-05	
			L

HKEX Synapse		🗎 26 August 2022 🕲 synuat001 synuat001 🗸	X
Initial Onboarding Details: FUND ID 5	53182	Cancel	ubmit
Ste	p 2/2 — Please provide the following information to create the fund's first Fund Profile GLOBAL CUSTODIAN DETAILS:	:	
	* GC BIC :	FIVCGB21XXX	
	* Fund Account at GC :	543181	
	GC Name :	SynComp511	
	GC LEI :	222200N66LBBAAGSH889	
	GC DN :	cn=invfunds,ou=80a,o=creschzz	
	LOCAL CUSTODIAN DETAILS:		
	* Investor ID •	300043	

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

7. The AM Data Manager Input Authorise User can confirm that the updated fields resubmitted by AM Data Manager Input Only User by looking at the Fund Details view and "Approve".

#### 5.1.2 Global Custodians (GC)

#### Approval by GC Data Manager Input Only User; Approval by GC Data Manager Input Authorise User: AM Data GC Data LC Data Manager Manager Input Manager Input Input Only User Only User and Only User and Fund is and Data Data Manager Data Manager successfully Manager Input Input Authorise Input Authorise onboarded to Authorise User User both User both Synapse both approved approved fund approved fund fund onboarding onboarding onboarding

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

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

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

Onboarding Details: FUND ID 342679          Eack to Fund Link x Reject v Submit          Onboarding Details: FUND ID 342679          Control Contrel Contrel Control Control Control Contrel Control Co	Onboarding Status: AM:Approved ~ FUND DETAILS		GC Checker: Pending		Back to Fund List × Reject      Submit For
AM: Approved       A GC Maker: Pending Submission       GC Checker: Pending       LC:Pending       Status: Inactive         FUND DETAILS       FUND DETAILS       FUND PROFILE 1 DETAILS       GL OBAL CUSTODIAN DETAILS:       GL OBAL CUSTODIAN DETAILS:         Fund Smeric       Fieldly Asia Fund 2679       Fund Smeric       Status: Inactive       SynComp51         Fund Dith:       Fieldly Clobal Fund       Fund Scott       CL:Pending       SynComp51         Fund Dith:       Fieldly Clobal Fund       Status:       Fund Clobal CustoDIAN DETAILS:       CC Name:       SynComp51         Fund Dith:       Fieldly Clobal Fund       Status:       Fund Clobal CustoDIAN DETAILS:       Fund Clobal CustoDIAN DETAILS:       Fund Clobal CustoDIAN DETAILS:       CC Name:       CC Status:       Status:       SynComp521         Cock       Cock       CustoDIAN DETAILS:       To approve fund enterating: provide the CS secured in the Line:       SynComp521       Lic Name:       SynComp521         Fund Effective Date:       2021-06-06       CC Status:       SynComp521       Lic Name:       SynComp521         Cock       Core Status:       2021-06-06       CC Els:       Costas Icc:       Costas Icc:       Costas Icc:       SynComp521         Cock       Core Status:       2021-06-06       CC Els: <td< th=""><th>AM: Approved ~ FUND DETAILS</th><th>▲GC Maker: Pending Submission</th><th>GC Checker: Pending</th><th></th><th></th></td<>	AM: Approved ~ FUND DETAILS	▲GC Maker: Pending Submission	GC Checker: Pending		
FUND DETAILS         FUND DETAILS         Fund Name:       Fidelity Asia Fund 2679         Fund Utherlie:       S493001480214710541359         Fund Domiclie:       Fidelity Asia Fund 2679         Fund Account at GC:       2220014802BBAAC6405488         GC B (C:       C:         DEFAULT SETTLEMENT MODE:       Statisment Mode - Sury Trade:         Settlement Mode - Sury Trade:       DVP         Fund Effective Date:       2021-06-06         Fund Effective Date:       2021-06-06	FUND DETAILS	▲ GC Maker: Pending Submission	GC Checker: Pending		
FUND DETAILS:       GLOBAL CUSTODIAN DETAILS:         Fund LE:       \$49300H6LVETDG5439         Fund LE:       \$49300H6LVETDG5439         Fund LO:       Fund Account at GC:         C:       C:         Fund LE:       \$49300H6LVETDG5439         Fund Account at C:       C:         Settlement Mode - Sull Trade:       DVP         FUND PROFILE PROCESSING DETAILS:       C:         Fund Effective Date:       2021-06-06				LC: Pendin	g Status: Inactive
Fund Name:       Float Name:       Float Name:       Status:         Fund Lin:       Status:       Status:       Status:         Fund Lin:       Status:       Status:       Status:         Fund Lin:       Status:       Status:       Status:	FUND DETAILS:		FUND	PROFILE 1 DETAILS	S
Fund LE:       \$43000/68/LYETIGS/159       60/459         Fund Dimerial:       Floating Global Fund       Hit         Fund Domicile:       Hit       Status:         Fund Alternative ID (Optional):       34265         DEFAULT SETTLEMENT MODE:       Status:         Settlement Mode - Buy Trade:       DVP         FUND PROFILE PROCESSING DETAILS:       FOP         Fund Effective Date:       2021-06-06			GLOBA	L CUSTODIAN DETAILS	2
Fund LE:       \$43000/68/LYETIGS/159       60/459         Fund Dimerial:       Floating Global Fund       Hit         Fund Domicile:       Hit       Status:         Fund Alternative ID (Optional):       34265         DEFAULT SETTLEMENT MODE:       Status:         Settlement Mode - Buy Trade:       DVP         FUND PROFILE PROCESSING DETAILS:       FOP         Fund Effective Date:       2021-06-06	Fund Name:	Fidelity Asia Fund 2679	GC Na	ime:	SynComp511
Fund Unbarelis:       Fidelty Global Fund         Fund Oncincie:       HK         Fund Oncincie:       340579         Fund Alternative ID (Optional):       340579         Settlement Mode - Bay Trade:       DVP         Settlement Mode - Say Trade:       DVP         Settlement Mode - Say Trade:       DVP         Fund Drace:       Settlement Mode - Say Trade:         Fund ProPrille ProCessing Detail.5:       DVP         Fund Effective Date:       2021-06-06         CEX Synapse over of Connectivity         Consection of the set or ID:         Dobaarding Details: FUND ID 342679       Clack to Fund Ist         Concount of the set or ID:       Status:         Onboarding Details: FUND ID 342679       Clack to Fund Ist         Concount of the set or ID:       Status:/nactive         Mit-Approved       A GC Maker:Pending Submission       GC Checker:Pending       LC:Pending         FUND DETAILS       FUND PROFILE I DETAILS       FUND PROFILE I DETAILS					
Fund Domicilie:       Hick         Fund Domicilie:       Hick         Fund Alternative ID (Optional):       342658         DEFAULT SETTLEMENT MODE:       Settlement Mode - Buy Trade:         Settlement Mode - Set Trade:       DVP         FUND PROFILE PROCESSING DETAILS:       CC A. COUSTODIAN DETAILS:         Fund Effective Date:       2021-06-06         CEX Synapse       Class to Fund Ltat Settlement Mode - Set Trade:         Onboarding Details: FUND ID 342679       Class to Fund Ltat Settlement Mode - Settlement					
Fund file       342679         Fund Alternative ID (Optional):       342658         DEFAULT SETTLEMENT MODE:					
Fund Alternative ID (Optional):       342888         DEFAULT SETTLEMENT MODE:					
DEFAULT SETTLEMENT MODE:         Settlement Mode & Sell Trade:         DVP         Settlement Mode & Sell Trade:         DVP         FUND PROFILE PROCESSING DETAILS:         LOCAL CUSTODIAN DETAILS:         Investor ID:         LOCAS DETAILS:         CC & Account at LC:         Investor ID:         LOCAL CUSTODIAN DETAILS:         Construction         FUND PROFILE PROCESSING DETAILS:         Construction         Construction         Fund Effective Date:         2021-06-06			GC DN	1:	Ch=invitunds,ou=ova,o=crescrizz
Settlement Mode - Buy Trade:       DVP         Settlement Mode - Settl Trade:       FOP         FUND PROFILE PROCESSING DETAILS:       Investor ID:         Fund Effective Date:       2021-06-06         CEX Synapse       Cass DD:         ower of Connectivity.       Class DD:         Daboarding Details:       FUND ID 342679         AGC Maker:Pending Submission       GC Checker:Pending         FUND PROFILE 1 DETAILS       FUND PROFILE 1 DETAILS:	Fund Alternative ID (Optional):	342008	🔺 G0	C's Account at LC:	io approve fund on boarding, provide the GC's account at the EC.
Settlement Mode - Sull Trade:     DVP       FUND PROFILE PROCESSING DETAILS:     Investor (ID: SynCampS21 LC CASS 10: CCASS 10: C	DEFAULT SETTLEMENT MODE:				
Settlement Mode - Sull Trade:     DVP       FUND PROFILE PROCESSING DETAILS:     Investor (ID: SynCampS21 LC CASS 10: CCASS 10: C			LOCAL	CUSTODIAN DETAILS	
FUND PROFILE PROCESSING DETAILS:       Investor UD:       30013         Fund Effective Date:       2021-06-06       LC LE::       SynComp521         CEX Synapse over of Connectivity.       2021-06-06       LC LE::       6213448632JRTFGR421         Onboarding Details: FUND ID 342679       < Back to Fund List			LOCAL	COSTODIAN DETAILS.	
FUND PROFILE PROCESSING DETAILS:       CC Name:       SynComp521         Fund Effective Date:       2021-06-06       CC Cass to:       CO016         CEX Synapse over of Connectivity       23 August 2022 (a) synuat071 synuat07         Onboarding Details: FUND ID 342679       C Dack to Fund List       X Reject       Submit         Onboarding Details: FUND ID 342679       C Dack to Fund List       X Reject       Submit         Onboarding Status:       AGC Maker: Pending Submission       GC Checker: Pending       LC: Pending       Status: Inactive         FUND PROFILE 1 DETAILS       FUND PROFILE 1 DETAILS       FUND PROFILE 1 DETAILS       FUND PROFILE 1 DETAILS	Settlement Mode - Sell Trade:	FOP	1	ior ID:	200042
FUND PROFILE PROCESSING DETAILS:       Code16         Fund Effective Date:       2021-06-06         CEX Synapse ower of Connectivity:       Classics         Onboarding Details: FUND ID 342679       Classics         Onboarding Status:       AGC Maker:Pending Submission         GC Checker:Pending       LC:Pending         FUND PETAILS       FUND PROFILE 1 DETAILS					
Fund Effective Date:     2021-08-06     LC LEI:     621344ABC32JRTFGR21	FUND PROFILE PROCESSING DETA	alLS:			
Tullid LifeLife Date.       200.100000       1       1         CEX Synapse over of Connectivity.       23 August 2022 (a) synuat071 synuat07         Onboarding Details: FUND ID 342679       < Back to Fund List × Reject ✓ submit AGC Maker: Pending Submission       GC Checker: Pending         Onboarding Status: AM: Approved ✓       AGC Maker: Pending Submission       GC Checker: Pending       Status: Inactive         FUND DETAILS       FUND PROFILE 1 DETAILS       FUND PROFILE 1 DETAILS       FUND PROFILE 1 DETAILS					
CEX Synapse ower of Connectivity. <sup>1</sup> 23 August 2022 (a) synual071 synual07 <sup>1</sup> Submit <sup>1</sup> Submit <sup>1</sup> Dack to Fund List × Reject × Submit <sup>1</sup> Submit <sup>1</sup> Onboarding Status: <sup>1</sup> AGC Maker: Pending Submission GC Checker: Pending LC: Pending Status: Inactive FUND DETAILS FUND PROFILE 1 DETAILS	Fund Effective Date:	2021-06-06	LC LEI	l:	621344ABC32JRTFGR421
Onboarding Status: AM:Approved - AGC Maker:Pending Submission GC Checker:Pending LC:Pending Status:Inactive FUND DETAILS FUND PROFILE 1 DETAILS					🖿 23 August 2022 💿 synuat071 synuat071
AM:Approved - A.GC. Maker: Pending Submission GC. Checker: Pending LC: Pending Status: Inactive FUND DETAILS FUND PROFILE 1 DETAILS	nboarding Details: FUND ID 342679				← Back to Fund List × Reject ✓ Submit For
AM:Approved - A.GC. Maker: Pending Submission GC. Checker: Pending LC: Pending Status: Inactive FUND DETAILS FUND PROFILE 1 DETAILS	Onboarding Status:				
FUND DETAILS FUND PROFILE 1 DETAILS		A GC Maker: Pending Submission	GC Checker: Pending	LC:Pendin	g Status Inactive
		a GC Maker, Pending Submission			
	FUND DETAILS		FUND	PROFILE 1 DETAILS	\$
GLUBAL CUSTODIAN DETAILS:	FUND DETAILS:		GLOBA	AL CUSTODIAN DETAILS	12
Fund Name: Fidelity Asia Fund 2679 GC Name: SynComp511	Fund Name:	Fidelity Asia Fund 2679	GC Na	ime:	SynComp511
Fund LEI:         549300N66L/ETIGSH359         Fund Account at GC:         9004859					
Fund Umbrella: Fidelity Global Fund GC LEI: 222200N66LBBAAGSH888					
Fund Domicile: HK GC BIC: FIVCGB21XXX					
			GC DN	4:	
Fund Alternative ID (Optional): 342668	Fund Alternative ID (Optional):	342668	🔺 G(	C's Account at LC:	
DEFAULT SETTLEMENT MODE:					
LOCAL CUSTODIAN DETAILS:	DEFAULT SETTLEMENT MODE:		LOCAL	CUSTODIAN DETAILS:	
Settlement Mode - Buy Irade: DVP					
Participant Made 2011 Trades	Settlement Mode - Buy Trade:	DVP	LOCAL		
Settlement Mode - Sett Trade: FOP Investor ID: 200043		DVP FOP		or ID:	200042
Investor ID: 300013	Settlement Mode - Buy Trade:		Investo		
Investor IU: 390013	Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	FOP	Investe LC Nar	me:	SynComp521
FUND PROFILE PROCESSING DETAILS:         JUNE Structure         300013           LC Name:         SynComp521           LC CASS ID:         C00016	Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	FOP	Invest LC Nar LC CC	me: CASSID:	SynComp521 C00016
Investor IU: 390013	Settlement Mode - Buy Trade: Settlement Mode - Sell Trade: FUND PROFILE PROCESSING DETA	FOP	Invest LC Nar LC CC	me: CASSID:	SynComp521 C00016

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parding Details: FUND ID 342679	)			←Back
Onboarding Status:				
AM: Approved <	GC Maker: Approved <	▲GC Checker: Pending Approval .	LC: Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp511
Fund Name:		Fidelity Asia Fund 2679	Fund Account at GC:	9004859
Fund LEI:		549300N66LYETIGSH359	GC LEI:	222200N66LBBAAGSH888
Fund Umbrella:		Fidelity Global Fund	GC BIC:	FIVCGB21XXX
Fund Domicile:		HK	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund ID:		342679	GC's Account at LC:	752194
Fund Alternative ID (Optional):		342668		
DEFAULT SETTLEMENT MODE:			LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP	Investor ID:	300013
Settlement Mode - Sell Trade:		FOP	LC Name:	SynComp521
			LC CCASS ID:	C00016
FUND PROFILE PROCESSING DET	AILS:		LC LEI:	621344ABC32JRTFGR421
			LC BIC:	JMPPMJ55XXX
Fund Effective Date:		2021-06-06	LC DN:	cn=invfunds.ou=80a.o=creschzz

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

Field	Description	Туре	Size	Mandatory	Syntax
Name		Type	0120	or Optional (M/O)	Validation
Fund Profile Onboarding Status	Indicates the current status of the Fund Profile Onboarding Workflow	String	20	N/A	N/A
Fund Name	The Legal Entity name of the Fund	String	70	N/A	N/A
Fund LEI	Legal Entity Identifier for the Fund	String	20	N/A	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	N/A	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1- alpha-2 code	String	2	N/A	2 characters
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Settlement Mode – Buy Trade	<ul> <li>trade</li> <li>Trade</li> <li>(DVP, RDP or FOP)</li> </ul>		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	Date	20	N/A	YYYY-MM- DD
Global Custodian Name	approval The Legal Entity name of the GC	String	70	N/A	N/A
Fund Account at Global Custodian	Account No. for Fund at GC	String	20	N/A	N/A
Global Custodian LEI	Legal Entity Identifier for GC	String	20	N/A	N/A
Global Custodian BIC	BIC Code for GC	String	11	N/A	N/A
Global Custodian DN	DN Code for GC	String	52	N/A	Min 8 characters

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

Field input by GC Data Manager Input Only User

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

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

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

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	Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
DAS	HBOARD						
	SETTLEMENT INSTRUCTION	ONS®	FUND PROFILES®		NOTIFICATIONS		
	15 Allocation Received		O Awaiting GC Maker Approval		Funds (13) PREVIEW -		
	3 Processing in Synapse		1 Awaiting GC Checker Approv	ral	♠ Participants (0) PREVIEW		
	1 Unmatched		O Awaiting LC Approval		▲ Relationships (0) PREVIEW		
	0 Matched				CCASS Exceptions (0)		
	9 Settled				SIS (168)		
	2 Cancelled						

b. Funds List view: increased counter under "Awaiting GC Checker Approval", changed icon from '—' to '√' in the AM column, changed icon from '—' to 'O' in the GC column, and changed status to "GC Maker Approved"

FUNDS       0       1       0       Q. Search       Centrate         Awaiting GC Maker Approval       Awaiting GC Checker Approval       Awaiting LC Approval	HKE The Power	K Synapse				Ē 23 /	August 2022 @ synuat073 synuat073 🗸 🗙
Awaiting GC Maker Approval Awaiting GC Checker Approval Awaiting LC Approval FUND IDA** FUND NAME** FUND ACCOUNT AT GC** AM NAME** GC*SACCOUNT AT LC** LC NAME** INVESTOR ID ** SPSA** FUND EFFECTIVE DATE** AM* GC* LC* STATUS**		Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
	FUNDS	-	1 GC Maker Approval Awaiting GC C	-	Approval		<b>Q</b> Search Generate Repo

- 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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poarding Details: FUND ID 34267	9				← Back to Fund List × Reject
Onboarding Status:					
AM: Approved </td <td>GC Maker: Approved <!--</td--><td>▲GC Checker: Pendir</td><td>ng Approval</td><td>LC: Pending</td><td>Status: Inactive</td></td>	GC Maker: Approved </td <td>▲GC Checker: Pendir</td> <td>ng Approval</td> <td>LC: Pending</td> <td>Status: Inactive</td>	▲GC Checker: Pendir	ng Approval	LC: Pending	Status: Inactive
FUND DETAILS			FUND PR	OFILE 1 DETAILS	
FUND DETAILS:			GLOBAL	CUSTODIAN DETAILS:	
			GC Name		SynComp511
Fund Name:		Fidelity Asia Fund 2679	Fund Acc	count at GC:	9004859
Fund LEI:		549300N66LYETIGSH359	GC LEI:		222200N66LBBAAGSH888
Fund Umbrella:		Fidelity Global Fund	GC BIC:		FIVCGB21X00
Fund Domicile:		НК	GC DN:		cn=invfunds,ou=80a,o=creschza
Fund ID: Fund Alternative ID (Optional):		342679 342668	GC's Acc	ount at LC:	752194
			1		
DEFAULT SETTLEMENT MODE:			LOCAL CL	JSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP	Investor	ID:	300013
Settlement Mode - Sell Trade:		FOP	LC Name	e la	SynComp521
			LC CCAS	ID:	C00016
FUND PROFILE PROCESSING DET	AILS:		LC LEI:		621344ABC32JRTFGR421
			LC BIC:		JMPPMJ55XX
Fund Effective Date:		2021-06-06	LC DN:		cn=invfunds,ou=80a,o=creschz

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

poarding Details: FUND ID 342679					
Onboarding Status:					
	GC Maker: Approved -	GC Checker: App	oroved ~	LC: Pending	Status: Inactive
FUND DETAILS				FUND PROFILE 1 DETAILS	
101000211120					
FUND DETAILS:				GLOBAL CUSTODIAN DETAILS:	
				GC Name:	SynComp51
Fund Name:		Fidelity Asia Fund 2679		Fund Account at GC:	900485
Fund LEI:	5	49300N66LYETIGSH359		GC LEI:	222200N66LBBAAGSH88
Fund Umbrella:		Fidelity Global Fund		GC BIC:	FIVCGB21XX
Fund Domicile:		HK		GC DN:	cn=invfunds.ou=80a.o=creschz
Fund ID:		342679		GC's Account at LC:	75219
Fund Alternative ID (Optional):		342668			
DEFAULT SETTLEMENT MODE:				LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP		Investor ID:	30001
Settlement Mode - Sell Trade:		FOP		LC Name:	SynComp52
				LC CCASS ID:	C0001
FUND PROFILE PROCESSING DETAILS:				LC LEI:	621344ABC32JRTFGR42
				LC BIC:	JMPPMJ55XX
Fund Effective Date:		2021-06-06		LC DN:	cn=invfunds.ou=80a.o=creschz

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

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



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

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

I Onboarding Details: FUND ID 553182				←Back to Fund List ×Reject ✓ Submit For
Onboarding Status:				
AM: Approved	GC Maker: Pending Submission	GC Checker: Pending .	LC: Pendin	ng Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAIL	S
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS	S:
Fund Name:	Fidelity Asia Fund 318	2	GC Name:	SynComp511
Fund LEI:	549300N66LYETIGSH35	9	Fund Account at GC:	543182
Fund Umbrella:	Fidelity Global Fun	d	GC LEI:	222200N66LBBAAGSH889
Fund Domicile:	н	ĸ	GC BIC:	FIVCGB21XXX
Fund ID:	55318		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):	77777	7	▲ GC's Account at LC:	To approve fund onboarding, provide the GC's account at the LC.
DEFAULT SETTLEMENT MODE:				
Settlement Mode - Buy Trade:	DV	P	LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Sell Trade:	FO			
	10		Investor ID:	300013
FUND PROFILE PROCESSING DETAIL	s:		LC Name:	SynComp521
			LC CCASS ID:	C00016
Fund Effective Date:	2021-06-0	5	LC LEI:	621344ABC32JRTFGR421
KEX Synapse				
KEX Synapse Prower of Connectivity.				는 26 August 2022 ⓒ synual071 synual07
Power of Connectivity.				☐ 26 August 2022 () synual071 synual07 + Back to Fund List × Reject exclusion
Power of Connectivity. Onboarding Details: FUND ID 553182	FUND ONBOARDING REJECTION:			
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status:	FUND ONBOARDING REJECTION: Please provide a comment below:			+Back to Fund Ltst ×Reject ×Smmith
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved ~				
Power of Connectivity Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved - FUND DETAILS				+Back to Fund Ltst ×Reject ×Smmith
Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved ~	Please provide a comment below:			+Back to Fund Ltst ×Reject ×Smmith
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved FUND DETAILS FUND DETAILS:	Please provide a comment below:			Hack to Fund List Reject Science F
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved - FUND DETAILS: FUND DETAILS: FUND Name:	Please provide a comment below:			Hack to Fund Ltst × Reject comment  Status: Inactive  SynComp511
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved FUND DETAILS FUND DETAILS: FUND DETAILS: Fund Name: Fund Name: Fund LE:	Please provide a comment below:			+ Hark to Fund List × Reject  Status: Inactive SymComp511 543132
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved FUND DETAILS FUND DETAILS: FUND DETAILS: Fund LE: Fund LE: Fund Uniterelia:	Please provide a comment below:			Hack to Fund List × Reject      Status; Inactive      SymComp511     543132     222200N5ELBAAGH809
Power of Connectivity Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved - FUND DETAILS: FUND DETAILS: FUND DETAILS: FUND DETAILS: FUND METAILS: FUND METAILS:	Please provide a comment below:			+ Hark to Fund List × Reject  Status: Inactive SymComp511 543132
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved < FUND DETAILS FUND DETAILS: Fund Name: Fund LE: Fund Universita: Fund Domicilie: Fund Domicilie: Fund Dic:	Please provide a comment below:			A Back to Fund List × Reject sound to     Status: Inactive     SynComp511     Status     SynComp51     Status     SynComp51     Status     Committee     SynComp51     Status     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     Status     SynComp51     SynComp51
Power of Connectivity Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved - FUND DETAILS FUND DETAILS: FUND DETAILS: FUND DETAILS: FUND Merila: Fund Unbrella: Fund Domcile:	Please provide a comment below:			Hask to Fund List Reject Comment  Status: Inactive  SynComp511 S43182 222200NEEBAAGSN89 FIVEGB2100X cm+infunds ou-80.accesebtz
Power of Connectivity Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved - FUND DETAILS FUND DETAILS: Fund Name: Fund LE: Fund Uniterlais: Fund Direction: Fund ID:	Please provide a comment below:			A Back to Fund List × Reject sound to     Status: Inactive     SynComp511     Status     SynComp51     Status     SynComp51     Status     Committee     SynComp51     Status     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     Status     SynComp51     SynComp51
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved- FUND DETAILS FUND DETAILS FUND DETAILS: Fund Name: Fund LEP: Fund LEP: Fund Denside: Fund Denside: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:	Please provide a comment below:			A Back to Fund List × Reject sound to     Status: Inactive     SynComp511     Status     SynComp51     Status     SynComp51     Status     Committee     SynComp51     Status     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     Status     SynComp51     SynComp51
Power of Connectivity: Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved - FUND DETAILS FUND DETAILS: FUND DETAILS: DEFAULT SETTLEMENT MODE: Settlement Mode - Bay Trade:	Please provide a comment below:			A Back to Fund List × Reject sound to     Status: Inactive     SynComp511     Status     SynComp51     Status     SynComp51     Status     Committee     SynComp51     Status     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     SynComp51     Status     SynComp51     SynComp51
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM:Approved- FUND DETAILS FUND DETAILS: FUND DETAILS: FUN	Please provide a comment below:			Cancel Submit
Power of Connectivity: Onboarding Details: FUND ID 553182 Duboarding Status: AM: Approved - FUND DETAILS: FUND DETAILS: Settlement Mode - Buy Trade: Settlement Mode - Settl Trade:	Please provide a comment below:			Cancel Submit
Power of Connectivity. Onboarding Details: FUND ID 553182 Onboarding Status: AM: Approved - FUND DETAILS FUND DETAILS FUND DETAILS: Fund LB: Fund LB: Fund Dimelie: Fund DD: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Bay Trade:	Please provide a comment below:			Cancel Submit Status: Inactive
AM: Approved - FUND DETAILS FUND DETAILS: Fund Name: Fund Dimbrella: Fund Domicile: Fund Dimbrella: Fund ID: Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	Please provide a comment below:		LC CCASSID: LC LEE	Cancel Submit

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.

FUND ID A FUND NA 555555 Fidelity A	-	1 Maker Approval Awaitin	a GC Checker	1									
			B a a automati	Approval Awaiting LC A	pproval							Q Search Gen	erate Repor
555555 Fidelity A		UND ACCOUNT AT GC V 🔻	AM NAME A 🔻	GC'S ACCOUNT AT LC 4 7	LC NAME A 🔻		SPSA A T FUND E	FFECTIVE DATE	AM ^	GC △	LC ≜	STATUS A 🔻	
	Asia Fund 5	52194	SynComp501	752194	SynComp522	600002	80000002 2021-06	-05	×	× .	× .	Active	DETAILS
555555 Fidelity A	Asia Fund 5	46272	SynComp501	762456	SynComp521	600002	80000001 2021-06	-05	~	~	~	Active	DETAILS
555555 Fidelity A	Asia Fund 5	46270	SynComp501	123456789	SynComp521	300013	80000001 2021-06	-05	× .	~	~	Active	DETAILS
555555 Fidelity A	Asia Fund 5	46270	SynComp501	762456	SynComp521	300013	80000001 2021-06	-05	×	~	•	LC Maker Approved	DETAILS
553182 Fidelity A	Asia Fund 3182 5	43182	SynComp501		SynComp521	300013	80000001 2021-06	-05	× .	•	-	GC Maker Rejected	DETAILS
553180 Fidelity A	Asia Fund 3180 5	43180	SynComp501		SynComp521	300013	80000001 2021-06	-05	~	-	-	AM Approved	DETAILS
555555 Fidelity A	Asia Fund 5	42194	SynComp501	762194	SynComp521	300013	80000001 2021-06	-05	×	× .	× .	Active	DETAILS
552102 Fidelity A	Asia Fund 2102 5	42102	SynComp501	762102	SynComp521	300013	80000001 2021-06	-05	×	~	× .	Active	DETAILS
552014 Fidelity A	Asia Fund 5	42014	SynComp501	762014	SynComp521	300013	80000001 2021-06	-05	× .	× .	× .	Active	DETAILS

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

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al Onboarding Details: FUND ID 553182					nd List × Reject × Approve
Onboarding Status:	▲ GC Maker: Rejected × ●	GC Checker: Pending	LC:Pending	Status: Inactive	Reject Back To Maker Reject Back To AM
FUND DETAILS			FUND PROFILE 1 DETAILS		
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:		
			GC Name:		SynComp511
Fund Name:		ity Asia Fund 3182	Fund Account at GC:		543182
Fund LEI:		N66LYETIGSH359	GC LEI:	222200	N66LBBAAGSH889
Fund Umbrella:	F	idelity Global Fund	GC BIC:		FIVCGB21XXX
Fund Domicile:		HK	GC DN:	cn=invfunds	ou=80a,o=creschzz
Fund ID: Fund Alternative ID (Optional):		553182 777777	GC's Account at LC:		
DEFAULT SETTLEMENT MODE:			LOCAL CUSTODIAN DETAILS:		
Settlement Mode - Buy Trade:		DVP	Investor ID:		300013
Settlement Mode - Sell Trade:		FOP	LC Name:		SynComp521
			LC CCASS ID:		C00016
FUND PROFILE PROCESSING DETAIL	S:		LC LEI:	621344	ABC32JRTFGR421
			LC BIC:		JMPPMJ55XXX
Fund Effective Date:		2021-06-05	LC DN:	cn=invfunds.	ou=80a,o=creschzz

3. The GC Data Manager Input Authorise will select "Reject Back to Maker" when the Input Authorise User disagrees with the Input Only User's rejection.

Connectivity.				🗎 26 August 2022 🕃 synuat073 synuat0
ding Details: FUND ID 553180				← Back to Fund List × Reject
Onboarding Status:				
AM: Approved <	▲GC Maker: Rejected × ●	GC Checker: Pending	LC: Pending	Status: Inactive
UND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
			GC Name:	SynComp511
Fund Name:	Fidelity Asia Fu	nd 3180	Fund Account at GC:	543180
Fund LEI:	549300N66LYETI	SSH359	GC LEI:	222200N66LBBAAGSH889
Fund Umbrella:	Fidelity Glo	al Fund	GC BIC:	FIVCGB21XXX
Fund Domicile:		HK	GC DN:	cn=invfunds.ou=80a.o=creschzz
Fund ID:		553180	GC's Account at LC:	
Fund Alternative ID (Optional):		777777	50071000ant at 201	
DEFAULT SETTLEMENT MODE:			LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Buy Trade:		DVP	Investor ID:	300013
Settlement Mode - Sell Trade:		DVP	LC Name:	SynComp521
			LC CCASS ID:	C00016
FUND PROFILE PROCESSING DETAIL	LS:		LC LEI:	621344ABC32JRTFGR421
			LC BIC:	JMPPMJ55XXX
Fund Effective Date:	202	1-06-05	LC DN:	cn=invfunds,ou=80a,o=creschzz

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

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Initial Onboarding Details: FUND ID 553180		General Approve     Section 2.1 - 2.1
Onboarding Status: AM: Approved ~ FUND DETAILS	FUND ONBOARDING REJECTION: Please provide a comment below:	Sfatus:Inactive
FUND DETAILS: Fund Name: Fund LEI: Fund Umbrella: Fund Dir: Fund Dir: Fund Alternative ID (Optional):	Change effective date	SynComp511 543180 222200466LB6AAG5H89 FIVCG821XXX cn=invfunds.cu=50g.o+creachtz2 Cancet Sutmit
DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade: Settlement Mode - Sell Trade: FUND PROFILE PROCESSING DETAIL Fund Effective Date:	2021-06-05 LC BIC: 2021-06-05 LC DN:	300013 SynComp521 CO0016 8213440CC32/RFFGR421 JMPPM455XXX cn=invfunds.cu=80a.o=creschzz

5. Funds List view: increased counter under "Awaiting GC Maker Approval", changed icon from 'O' to '—' in the GC column, and changed status to "GC Checker Rejected"

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

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

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

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

#### 5.1.3 Local Custodians (LC)

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



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

- 1. The LC Data Manager Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. The LC Data Manager Input Only User will be informed in two ways:
  - 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".

Onboarding Status: AM: Approved ✓ FUND DETAILS FUND DETAILS: Fund Name: Fund LE:	GC:Approved ~	LC Maker: Pending Submission .	LC Checker: Pending	
FUND DETAILS FUND DETAILS: Fund Name: Fund LEI:	GC:Approved <	▲LC Maker: Pending Submission .	LC Checker: Pending	
FUND DETAILS: Fund Name: Fund LEI:			-	Status: Inactive
Fund Name: Fund LEI:			FUND PROFILE 1 DETAILS	
Fund Name: Fund LEI:			GLOBAL CUSTODIAN DETAILS:	
Fund LEI:				
		Fidelity Asia Fund 2679	GC Name:	SynComp511
		549300N66LYETIGSH359 Fidelity Global Fund	Fund Account at GC: GC LEI:	9004859 222200N66LBBAAGSH888
Fund Umbrella: Fund Domicile:		HK	GC EE: GC BIC:	222200N66LBBAAGSH888 FIVCGB21XXX
Fund ID:		342679	GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):	l):	342668	GC's Account at LC:	752194
DEFAULT SETTLEMENT MODE:	)E:			
Settlement Mode - Buy Trade:		DVP	LOCAL CUSTODIAN DETAILS:	
Settlement Mode - Sell Trade:		FOP		
FUND PROFILE PROCESSING D	G DETAILS:		Investor ID:	300013
Fund Effective Date:		2021-06-06	LC Name:	SynComp521
Fund Ellective Date:		2021-00-00	LC CCASS ID: LC LEI:	C00016 621344ABC32JRTFGR421
			LC BIC:	JMPPMJ55XXX
			LC DN:	cn=invfunds.ou=80a.o=creschzz
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Field Name	Description	гуре	Size	Optional (M/O)	Syntax validation
Fund Profile Onboarding Status	Indicates the current status of the Fund Profile Onboarding Workflow	String	20	N/A	N/A
Fund Name	The Legal Entity name of the Fund	String	70	N/A	N/A
Fund LEI	Legal Entity Identifier for the Fund	String	20	N/A	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	N/A	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166- 1-alpha-2 code	String	2	N/A	2 characters
Fund ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	N/A	N/A
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g.,	String	20	N/A	N/A

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

## Approval by LC Data Manager Input Authorise User:

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

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

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Onboarding Status:				
AM: Approved </td <td>GC: Approved <!--</td--><td>LC Maker: Approved ~</td><td>▲LC Checker: Pending Approval</td><td>Status: Inactive</td></td>	GC: Approved </td <td>LC Maker: Approved ~</td> <td>▲LC Checker: Pending Approval</td> <td>Status: Inactive</td>	LC Maker: Approved ~	▲LC Checker: Pending Approval	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
FUND DETAILS:			GLOBAL CUSTODIAN DETAILS:	
TOND DETAILS.			CODAL COSTODIAN DETAILS.	
Fund Name:		Fidelity Asia Fund 2679	GC Name:	SynComp5
Fund LEI:		549300N66LYETIGSH359	Fund Account at GC:	900485
Fund Umbrella:		Fidelity Global Fund	GC LEI:	222200N66LBBAAGSH88
Fund Domicile:		HK	GC BIC:	FIVCGB21XX
Fund ID:		342679	GC DN:	cn=invfunds,ou=80a,o=cresch:
Fund Alternative ID (Optional): DEFAULT SETTLEMENT MODE:		342668	GC's Account at LC:	75215
Settlement Mode - Buy Trade:		DVP	1	
Settlement Mode - Sell Trade:		FOP	LOCAL CUSTODIAN DETAILS:	
FUND PROFILE PROCESSING DET	TAILS:		Investor ID:	3000
			LC Name:	SynComp52
Fund Effective Date:		2021-06-06	LC CCASS ID:	C000
			LC LEI:	621344ABC32JRTFGR42
			LC BIC:	JMPPMJ55XX
			LC DN:	cn=invfunds.ou=80a.o=cresch:
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d Connectivity.  rding Details: FUND ID 34267  Onboarding Status: AM:Approved ~  FUND DETAILS  FUND DETAILS  Fund DE: Fund LE: Fund LE: Fund Umbrelia: Fund Domicile: Fund Idemative ID (Optional): DEFAULT SETTLEMENT MODE: Settlement Mode - Buy Trade:		Fidelity Asia Fund 2679 549000N90LYETIGS4959 Fidelity Global Fund HK 342679 342669 DVP	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN: GC Account at LC: I	23 August 2022 @ synuati 43 synua status:inactive          Status:inactive         SynComp5         22200%EBAAGSH8         22220%EBAAGSH8         FVVCG821XX         cri=mfundig.com26.accerteht
4 Connectivity. rding Datails: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS FUND DETAILS Fund ID: Fund ID: Fu		Fidelity Asia Fund 2679 549000N90LYETIGS4959 Fidelity Global Fund HK 342679 342669 DVP	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN: GC Account at LC: I	23 August 2022 @ synuati 43 synua status:inactive          Status:inactive         SynComp5         22200%EBAAGSH8         22220%EBAAGSH8         FVVCG821XX         cri=mfundig.com26.accerteht
f Connectivity. rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS: Fund DetAILS: Fund DetAILS: Fund DetAILS: Fund Dic: Fund ID: Fund ID: Fund ID: Fund ID: Settlement Mode - Sell Trade: Settlement Mode - Sell Trade:	GC: Approved -/	Fidelity Asia Fund 2679 549000N90LYETIGS4959 Fidelity Global Fund HK 342679 342669 DVP	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BC: GC CDN: GC's Account at LC: LOCAL CUSTODIAN DETAILS:	23 August 2022 @ synual143 synual
f Connectivity. rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS: Fund DetAILS: Fund DetAILS: Fund DetAILS: Fund Dic: Fund ID: Fund ID: Fund ID: Fund ID: Settlement Mode - Sell Trade: Settlement Mode - Sell Trade:	GC: Approved -/	Fidelity Asia Fund 2679 549000N90LYETIGS4959 Fidelity Global Fund HK 342679 342669 DVP	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BC: GC CDN: GC's Account at LC: LOCAL CUSTODIAN DETAILS:	23 August 2022 @ synual143 synual
f Connectivity. rding Details: FUND ID 34267 Onboarding Status: AM: Approved ~ UND DETAILS FUND DETAILS: Fund DetAILS: Fund DetAILS: Fund DetAILS: Fund Dic: Fund ID: Fund ID: Fund ID: Fund ID: Settlement Mode - Sell Trade: Settlement Mode - Sell Trade:	GC: Approved -/	Fidelity Asia Fund 2679 549000N90LYETIGS4959 Fidelity Global Fund HK 342679 342669 DVP	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BIC: GC DN: GC's Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID:	23 August 2022 () synuati 43 synua
f Connectivity. rding Datails: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAIL S FUND DETAIL S Fund Name: Fund LB: Fund Name: Fund LB: Fund LB: Fund Name: Fund Na	GC: Approved -/	Fidelity Asia Fund 2679 549300N96LVETUGSH359 Fidelity Global Fund HK 342679 342689 DVP FOP	LC Checker: Approved → FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: Fund Account at GC: GC LEI: GC BC: GC CN: GC Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name:	23 August 2022 () synual143 synua C Ba Status:Inactive SynComp5: 80048 22200N66LBBAAGSH8 C2220N66LBBAAGSH8 C2220N66LBBAAGSH8 75216 3000
f Connectivity. rding Datails: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAIL S FUND DETAIL S Fund Name: Fund LB: Fund Name: Fund LB: Fund Name: Fund	GC: Approved -/	Fidelity Asia Fund 2679 549300N96LVETUGSH359 Fidelity Global Fund HK 342679 342689 DVP FOP	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: FUND Account at GC: GC LEI: GC BN: GC's Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name: LC CASS ID: SC'S Account ACCOUNTS	23 August 2022 () synuat143 synua Status:inactive          Status:inactive         SynComp5         22200NetBAAGSH4         Status:inactive
f Connectivity. rding Datails: FUND ID 34267 Onboarding Status: AM: Approved ~ FUND DETAIL S FUND DETAIL S Fund Name: Fund LB: Fund Name: Fund LB: Fund Name: Fund	GC: Approved -/	Fidelity Asia Fund 2679 549300N96LVETUGSH359 Fidelity Global Fund HK 342679 342689 DVP FOP	LC Checker: Approved ~ FUND PROFILE 1 DETAILS GLOBAL CUSTODIAN DETAILS: GC Name: FUND Account at GC: GC LEI: GC BN: GC's Account at LC: LOCAL CUSTODIAN DETAILS: Investor ID: LC Name: LC CASS ID: SC'S Account ACCOUNTS	23 August 2022 () synuat143 synua Status:inactive          Status:inactive         SynComp5         22200NetBAAGSH4         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.

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

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

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

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

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

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

HKEX Synapse The Power of Connectivity.			🌲 Notifications 🗸 🛅 07	February 2022 @ CP0040_UM ~ 🂢
Initial Onboarding Details: FUND ID 11	1111			Back to Fund List × Reject Approve
Onboarding Status: AM: Approved ~	FUND ONBOARDING REJECTION: Please provide a comment below:			IS: Inactive
FUND DETAILS FUND DETAILS FUND DETAILS: Fund Name: Fund LEI: Fund Umbrella: Fund Domicile: Fund Alternative ID (Optional DEFAULT SETTLEMENT MOD Settlement Mode - SetTrace	Comment		Cancel	CP00913_SynapseGC 9004874 222200460LBRAA05H888 FPVCGB21XXXX cn=invfunds.pu=80a.c=cresch22 7404242
FUND PROFILE PROCESSING Fund Effective Date:		LC DN: SPSA:		CP00018_SynapseLC C000033 5493005HANGSE80XEE42 HASEHK0Hb00X cn=invfunds.ou=80a.o=creschzz 80000002

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



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

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

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



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

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

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

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

HKEX Synapse The Power of Connectivity.		🗂 26 August 2022 🛞 synuat 143 synuat 143 🗸 💢
← Back Fund Details: FUND ID 555555		
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:	
FUND PROFILE STATUS:	Please provide a comment below:	×REJECT ✓APPROVE
AM:APPROVED - G	Comment	STATUS:INACTIVE
FUND PROFILE DETAILS:		
Fund Effective Date:		SynComp501 549300N66LYETIGSH384
GLOBAL CUSTODIAN DETAILS:	Cancel	DTCCMEORXXX cn=invfunds,ou=80a,o=creschzz
GC BIC: Fund Account at GC:		300013
GC Name: GC LEI:		SynComp521
GC DN:		C00016 621344ABC32JRTFGR421
GC's Account at LC:	LU BIU:	JMPPMJ55XXX
	LC DN: SPSA:	cn=invfunds,ou=80a,o=creschzz 80000001

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

HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 @ synual143 synual143 🗸 💢
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:	
FUND PROFILE STATUS:	Please provide a comment below:	×REJECT ✓APPROVE
AM: APPROVED - Gi	Please reject back to GC and change the GC account at LC	STATUS:INACTIVE SynComp501 549300N6L/ETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS: GC BIC: Fund Account at GC: GC Name: GC LEI: GC DN: GC's Account at LC:	Cancel Submit	- cn+invlunds,ou+888,o+creschzz 300013 SynComp521 C00015 621344ABC32JRTFGR421 JMPPIAJS5XXX cn+invlunds,ou+980,o-creschzz 80000001

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

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

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

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



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

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

	ls: FUND ID 555555					
EY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE	4	
FUND PROFILE	STATUS:					× REJECT VAPPROV
AM:A	PPROVED ~	GC:APPROVED -	LC MAKER:RE	JECTED×0	LC CHECKER: PENDING	STATUS: INACTIVE
FUND PROF	ILE DETAILS:				ASSET MANAGER DETAILS:	
Fund Ef	fective Date:		2021-06-05		AM Name:	SynComp501
					AM LEI:	549300N66LYETIGSH384
					AM BIC:	DTCCMEORXXX
GLOBAL CU	ISTODIAN DETAILS:			1	AM DN:	cn=invfunds,ou=80a,o=creschzz
GC BIC:			FIVCGB21XXX	-	LOCAL CUSTODIAN DETAILS:	
	count at GC:		546270			
			SynComp511		Investor ID:	300013
GC Nam			222200N66LBBAAGSH888		LC Name: LC CCASS ID:	SynComp521 C00016
		cn	invfunds,ou=80a,o=creschzz		LC LEI:	621344ABC32JRTFGR421
GC Nam					LC BIC:	JMPPMJ55XXX
GC Nam GC LEI: GC DN:	count at LC:		762456			
GC Nam GC LEI: GC DN:			762456		LC DN:	cn=invfunds.ou=80a.o=creschzz

- 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.

HKEX Synapse					🖻 26 August 2022 ④ synuat143 synuat143 🤟
ack Fund Details: FUND ID 5555					
FUND DETAILS FUND PRO	FILE 1 FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	_	
FUND PROFILE STATUS:					× REJECT VAPPROVI
AM: APPROVED ~	GC:APPROVED ~	LC MAKER: REJ	ECTED×0	LC CHECKER: PENDING	STATUS: INAC Reject Back To Maker Reject Back To GC
FUND PROFILE DETAILS:			1	ASSET MANAGER DETAILS:	Reject back to de
Fund Effective Date:		2021-06-05		AM Name:	SynComp501
				AM LEI:	549300N66LYETIGSH384
				AM BIC:	DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS			1	AM DN:	cn=invfunds,ou=80a,o=creschzz
GC BIC:		FIVCGB21XXX	1	OCAL CUSTODIAN DETAILS:	
Fund Account at GC:		546270		Investor ID:	300013
GC Name:		SynComp511		I C Name:	SvnComp521
GC LEI:	2	22200N66LBBAAGSH888		LC CCASS ID:	C00016
GC DN:	cn=in	vfunds,ou=80a,o=creschzz		LC LEI:	621344ABC32JRTFGR421
GC's Account at LC:		762456		LC BIC:	JMPPMJ55XXX
				LC DN:	cn=invfunds.ou=80a.o=creschzz
				SPSA:	80000001

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

HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 (@ synuat143 synuat143 🤟 🂢
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:	
FUND PROFILE STATUS:	Please provide a comment below:	×REJECT VAPPROVE
AM: APPROVED ~	Comment	TATUS: INACTIVE
FUND PROFILE DETAILS: Fund Effective Date:		5493004642/ETIG51934 01707/MIC02002
GLOBAL CUSTODIAN DETAILS: GC BIC: Fund Account at GC: GC Name: GC LE: GC DN: GC's Account at LC:	LL BLL LC DK	Cancel 300013 SynCampS21 Contel 300013 SynCampS21 Contel 4000 661344ABC32JRTFGR421 JMFPMJSSDXX convint/unds.cov/Box.covcestba2
	SPSA:	8000001

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

HKEX Synapse The Power of Connectivity.		🖻 26 August 2022 (@) synuat143 synuat143 🧹 🂢
Back Fund Details: FUND ID 555555		
KEY FUND DETAILS FUND PROFILE 1	FUND ONBOARDING REJECTION:	
FUND PROFILE STATUS:	Please provide a comment below:	× REJECT VAPPROVE
AM:APPROVED ~	Change the GC account at LC	TATUS:INACTIVE
FUND PROFILE DETAILS:		
Fund Effective Date:		SynComp501 549300N66LYETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:	Cancel S	cn=invfunds,ou=80a,o=creschzz
GC BIC:		
Fund Account at GC:		300013
GC Name:		SynComp521
GC LEI: GC DN:		C00016
GC's Account at LC:		621344ABC32JRTFGR421
	LC BIC:	JMPPMJ55XXX cn=invfunds.ou=60a.o=creschzz
	LC UN: SPSA:	cn=invfunds,ou=60a,o=cresch22 80000001
		0000001

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

# 5.2 Fund Profile Creation

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

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

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

					0	gust 2022 ③ synuat001 synu	uat001 🗸 🌙
Back Fund Details: FUND ID 555555						+	Add Fund Pr
KEY FUND DETAILS FUND PRO	FILE 1 FUND PROFILE 2 FUND P	ROFILE 3	FUND PROFILE 4	FUND PROFILE 5	FUND PROFILE 6	FUND PROFILE 7	FUND PRO
FUND PROFILE STATUS:							
AM MAKER: APPROVED ~	AM CHECKER: APPROVED ~	GC:	APPROVED -	LC:APPROVED -	STATUS: ACTIVE	DEACTIVATE	
FUND PROFILE DETAILS:			ASSE	MANAGER DETAILS:			
Fund Effective Date:	:	2021-06-05		/ Name: / LEI:		SynCo 549300N66LYETIG	
				A BIC:		DTCCMEC	
GLOBAL CUSTODIAN DETAILS:			A	I DN:		cn=invfunds,ou=80a,o=cn	eschzz
			LOCA	L CUSTODIAN DETAILS:			
GC BIC: Fund Account at GC:	FIVO	GB21XXX 662194					
GC Name:	Sy	nComp511		vestor ID: Name:		6 SynCo	500002 mp522
GC LEI:	222200N66LBB/			CCASS ID:			00033
GC DN:	cn=invfunds.ou=80a.o	o=creschzz		LEI:		5493005HANGSE88	
GC DN:			LC				
I GLUN:			LC	BIC: DN:		HASEHKi cn=invfunds,ou=80a,o=cn	HXXX
HKEX Synapse			LC	BIC:	🚍 26 Aug	HASEHKH	HXXX eschzz
HKEX Synapse			LC	BIC:	<u>—</u> 26 Аи	HASENK cn=invlunds.ou=90a.o=cn gust 2022 @synual001 synu	HXXX eschzz
HKEX Synapse	*Investor ID :		LC	BIC:	600002	HASENK cn=invlunds.ou=90a.o=cn gust 2022 @synual001 synu	HXXX eschzz
HKEX Synapse	* Investor ID : SPSA:		LC	BIC:	600002 80000002	HASENK cn=invlunds.ou=90a.o=cn gust 2022 @synual001 synu	HHXXX eschzz
HKEX Synapse	* Investor ID : SPSA: LC Name :		LC	BIC:	600002 80000002 SynComp522	HASENK cn=invlunds.ou=90a.o=cn gust 2022 @synual001 synu	HXXX eschzz
HKEX Synapse	*Investor ID ; SPSA; LC Rame : LC CCASSID ;		LC		600002 80000002 SynComp522 C00033	HASENK cn=invlunds.ou=90a.o=cn gust 2022 @synual001 synu	HXXX eschzz
HKEX Synapse	*Investor ID ; SPSA: LC Rame : LC CCASS ID ; LC LE ;		LC		600002 80000002 SynComp522	HASENK cn=invlunds.ou=90a.o=cn gust 2022 @synual001 synu	HHXXX eschzz
HKEX Synapse	*Investor ID ; SPSA; LC Rame : LC CCASSID ;		LC		600002 80000002 SymComp522 C00033 5493005HANGSE88XEE42	HASENK cn=invlunds.ou=90a.o=cn gust 2022 @synual001 synu	HHXXX eschzz
HKEX Synapse	* Investor ID : SPSA: LC Rame : LC CCASS ID : LC LEI : LC LEI : LC EIC :		LC		600002 80000002 SymComp522 C00033 5493005HANGSE88XEE42 HASEHK0HDCX	HASENK cn=invlunds.ou=90a.o=cn gust 2022 @synual001 synu	HXXX eschzz

# **5.3 Delete Fund Creation**

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



#### 5.3.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

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

CEX Synapse	4 8			🖶 26 August 2022 ④ synuat001 synuat001
Onboarding Details: FUND ID 553181				← Back to
Onboarding Status:				× Delete Fund Orbation
AM Maker: Approved ~	AM Checker: Pending Approval	GC:Pending	LC:Pending	Status: Inactive
FUND DETAILS			FUND PROFILE 1 DETAILS	
1			GLOBAL CUSTODIAN DETAILS:	
FUND DETAILS:			CEODAE COSTODIAN DETAIES.	
Fund Name:	Fidelity Asia Fund 3181		GC Name:	SynComp511
Fund LEI:	549300N66LYETIGSH359		Fund Account at GC:	543181
Fund Umbrella:	Fidelity Global Fund		GC LEI:	222200N66LBBAAGSH889
Fund Domicile:	HK		GC BIC:	FIVCGB21XXX
Fund ID:	553181		GC DN:	cn=invfunds,ou=80a,o=creschzz
Fund Alternative ID (Optional):	777777			
Puna Anemauve ib (optional).			LOCAL CUSTODIAN DETAILS:	
DEFAULT SETTLEMENT MODE:			Investor ID:	300013
	210		LC Name:	SynComp521
Settlement Mode - Buy Trade:	DVP		LC CCASS ID:	C00016
Settlement Mode - Sell Trade:	DVP		I C I EI:	621344ABC32JRTFGR421
FUND PROFILE PROCESSING DETAILS:			LC BIC:	JMPPMJ55XXX
TOND PROTIEE PROCESSING DETAILS.			LC DN:	cn=invfunds ou=80a.o=creschzz
Fund Effective Date:	2021-06-05		SPSA:	80000001

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

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

arding Details: FUND ID 553181				←Ba
Onboarding Status:				× Delete Fund Creation
AM Maker: Pending Ammendment	AM Checker: Rejected × •	GC: Pending	LC: Pending	Status: Inactive
FUND DETAILS	/ Eas	FUND PROFILE	1 DETAILS	
FUND DETAILS:		GLOBAL CUSTOD	IAN DETAILS:	
		GC Name:		SynComp51
Fund Name:	Fidelity Asia Fund 3181	Fund Account at	GC:	54318
Fund LEI:	549300N66LYETIGSH359	GC LEI:		222200N66LBBAAGSH88
Fund Umbrella:	Fidelity Global Fund	GC BIC:		FIVCGB21XX
Fund Domicile:	нк	GC DN:		cn=invfunds,ou=80a,o=cresch:
Fund ID:	553181			
Fund Alternative ID (Optional):	777777			
		LOCAL CUSTODIA	AN DETAILS:	
DEFAULT SETTLEMENT MODE:		Investor ID:		3000
	DVP	Investor ID: I C Name:		SynComp5
Settlement Mode - Buy Trade: Settlement Mode - Sell Trade:	DVP	LC CCASS ID:		C000
settiement moue - sen fraue:	DVP	LC LEI:		621344ABC32JRTFGR4
FUND PROFILE PROCESSING DETAILS:		LC BIC:		JMPPMJ55X
		LC DN:		cn=invfunds.ou=80a.o=cresch
Fund Effective Date:	2021-06-05	SPSA:		800000

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

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

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

The Power of C	Synapse							E 26 August 2022 @ synual001 synual001			1001 - 🗙
Da	ashboard	Settlement In	structions	Funds		Relationships	Market Data		Market Data Reports		
FUNDS	<b>2</b> Awaiting AM Che	ecker Approval	1 1 Awaiting GC Approval Awai	iting LC Approval						Q Search Generate Report	t + New Fund
FUND ID 4 🔻	FUND NAME 4 7	GC NAME A	FUND ACCOUNT AT GC 7	INVESTOR ID	SPSA A T	FUND EFFECTIVE DATE	AM ^	GC △	LC ≏	STATUS A T	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	~	× .	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	~	× .	× .	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	1	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	~	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	× .	•	LC Maker Rejected	DETAILS >
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	~	~	1	Active	DETAILS >
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	1	-	-	AM Approved	DETAILS >
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	~	~	1	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	1	1	1	Active	DETAILS >
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	~	× .	Active	DETAILS

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

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



#### 5.4.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

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

HKEX The Power of C	Synapse			S			<u></u> 2			26 August 2022 🕲 synuat001 synuat001 🗸 💢		
Da	shboard	Settlement In	structions	Funds		Relationships	Market Data		lata	Reports		
FUNDS	2 Awaiting AM Ch	ecker Approval	1 Awaiting GC Approv	1 al Awaiting LC Approval						Q Search Generate Report	+ New Fu	
FUND ID 4 🔻	FUND NAME A T	GC NAME A	FUND ACCOUNT AT	GC <sup>▽</sup> <sup>▼</sup> INVESTOR ID <sup>△</sup> <sup>▼</sup>	SPSA A T	FUND EFFECTIVE DATE	AM <sup>A</sup>	GC △	LC ≏	STATU S 🗠 🔻		
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	× .	~	~	Active	DETAILS	
555555	Fidelity Asia Fund	SynComp511	742194	300013	8000001	2022-08-12	•	-	-	Pending AM Checker Approval		
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-05	× .	× .	~	Active	DETAILS	
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	~	1	Active	DETAILS	
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS :	
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	~	1	Active	DETAILS	
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	× .	× .	•	LC Maker Rejected	DETAILS	
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS	
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS	
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	~	1	1	Active	DETAILS	
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	× .	-	-	AM Approved	DETAILS :	
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	×	1	1	Active	DETAILS :	
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	× .	1	1	Active	DETAILS :	
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	1	×	Active	DETAILS >	

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

HKEX S	ectivity.						26 August 2022 ④ synuat001 synuat001 🗸
← Back Fund Detai	ls: FUND ID 555555						+ Add Fund
EY 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 PROFIL
AM M	AKER: APPROVED ~	AM CHECKER: PE	ENDING APPROVAL	GC:PENDING	LC	PENDING	STATUS: INACTIVE
FUND PROF	TLE DETAILS:			AS	SET MANAGER DETAI	LS:	
Fund Ef	fective Date:		2021-06-05		AM Name:		SynComp501
					AM LEI:		549300N66LYETIGSH384
					AM BIC:		DTCCMEORXXX
GLOBAL CL	JSTODIAN DETAILS:			I.	AM DN:		cn=invfunds,ou=80a,o=creschzz
GC BIC:			FIVCGB21XXX	LO	CAL CUSTODIAN DET	AILS:	
Fund Ac	count at GC:		546271		Investor ID:		300013
GC Nam	ie:		SynComp511		LC Name:		SynComp521
GC LEI:			222200N66LBBAAGSH888		LC CCASS ID:		C00016
GC DN:		cn	=invfunds,ou=80a,o=creschzz		LC LEI:		621344ABC32JRTFGR421
					LC BIC:		JMPPMJ55XXX
					LC DN:		cn=invfunds,ou=80a,o=creschzz
					SPSA:		80000001

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

# 5.5 Deactivation of an Active Fund or Fund Profile

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



#### 5.5.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

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

Da	ashboard	oard Settlement Instructions		Funds		Relationships	Ма	irket E	lata	Reports	
FUNDS	2 Awaiting AM Che	ecker Approval	1 1 Awaiting GC Approval Awai	iting LC Approval						<b>Q</b> Search Generate Report	+ New Fu
FUND ID A T	FUND NAME A T	GC NAME 4 T	FUND ACCOUNT AT GC * *	INVESTOR ID A T	SPSA ^ =	FUND EFFECTIVE DATE	AM ^	GC ^	LC 4	STATUS 4 T	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	1	1	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194	600002	8000002	2021-06-05	×	× .	1	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	~	~	1	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546271	300013	8000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	~	~	1	Active	DETAILS
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	×	× .	•	LC Maker Rejected	DETAILS
553182	Fidelity Asia Fund 3182	SynComp511	543182	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS
553180	Fidelity Asia Fund 3180	SynComp511	543180	300013	80000001	2021-06-05	×	-	-	GC Rejected	DETAILS >
552781	Fidelity Asia Fund 2780	SynComp512	542781	112615	80000001	2021-06-05	1	~	1	Active	DETAILS
552781	Fidelity Asia Fund 2781	SynComp225	542781	112615	80000001	2021-06-05	~	-	-	AM Approved	DETAILS
555555	Fidelity Asia Fund	SynComp511	542194	300013	80000001	2021-06-05	1	~	1	Active	DETAILS
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	~	× .	~	Active	DETAILS
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	1	~	1	Active	DETAILS

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

Back Fu	ind Details:	FUND ID 555555						+ Add Fund
Y FUND (	DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE	FUND PROFILE 5	FUND PROFILE 6	FUND PROFILE 7
FUND P	PROFILE S	TATUS:						
	AM MAK	ER:APPROVED~	AM CHECKER: API	PROVED	GC:APPROVED ~	LC:APPROVED ~	STATUS: AC	DEACTIVATE
FU	UND PROFILI	E DETAILS:			_	ASSET MANAGER DETAILS:		
	Fund Effec	tive Date:		2021-06-0	5	AM Name:		SynComp501
- 1 - E						AM LEI:		549300N66LYETIGSH384
						AM BIC:		DTCCMEORXXX
G	LOBAL CUST	ODIAN DETAILS:				AM DN:		cn=invfunds,ou=80a,o=creschzz
-	GC BIC:			FIVCGB21XX		LOCAL CUSTODIAN DETAILS:		
	Fund Acco	unt at GC:		54627				
	GC Name:			SynComp51		Investor ID:		300013
	GC LEI:			222200N66LBBAAGSH88		LC Name: LC CCASS ID:		SynComp521 C00016
	GC DN:		cn-	invfunds,ou=80a,o=creschz	z	LC CCASS ID: LC LEI:		621344ABC32JRTFGR421
						LC EI:		JMPPMJ55XXX
						LC DN:		cn=invfunds.ou=80a.o=creschzz

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

HKEX Synapse					ust 2022 🕃 synuat001 synuat001 🗸 🂢
←Back Fund Details: FUND ID 555555					+ Add Fund Profile
KEY FUND DETAILS FUND PROFILE 1	FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4	FUND PROFILE 5	FUND PROFILE 6 F	UND PROFILE 7
FUND PROFILE STATUS:					
AM MAKER: APPROVED ~	AM CHECKER: APPROV FUND DEACT	IVATION:	VED ~	STATUS: ACTIVE	DEACTIVATE
FUND PROFILE DETAILS:	Please specify fi	und deactivation effectivatio	n date: TAILS:		
Fund Effective Date:		2222-06-27	Cancel Ok		SynComp501 549300N66LYETIGSH384 DTCCMEORXXX
GLOBAL CUSTODIAN DETAILS:					cn=invfunds,ou=80a,o=creschzz
GC BIC:	FIVCGB21XX		CAL CUSTODIAN DETAILS:		
Fund Account at GC: GC Name:	54621 SynComp5	11	Investor ID: LC Name:		300013 SynComp521
GC LEI:	222200N66LBBAAGSH88	38	LC CCASS ID:		C00016
GC DN:	cn=invfunds.ou=80a,o=cresch2		LC LEI:		621344ABC32JRTFGR421
1			LC LEI: LC BIC: LC DN:		621344ABC32RTFGR421 JMPPMJ55XXX cn=invfunds.ou=60a.o=creschzz

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

HKEX Synapse The Power of Connectivity.					<b>=</b> 26				5 August 2022 🕲 synuat003 synuat003 🗸 💢		
Dashboard		Settlement Instructions		Funds		Relationships		ırket C	lata	Reports	
FUNDS	<b>2</b> Awaiting AM Ch	ecker Approval	1 Awaiting GC Approv	1 al Awaiting LC Approval						<b>Q</b> Search Generate Report	+ New Fur
FUND ID 4 7	FUND NAME A T	GC NAME A T	FUND ACCOUNT AT	GC 7 T INVESTOR ID 4 T	SPSA A T	FUND EFFECTIVE DATE	AM ^	GC △	LC ≏	STATUS A 🔻	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	× .	1	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-12	•	× .	1	Inactivation Pending Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546272	600002	80000001	2021-06-05	×	~	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546271	300013	80000001	2021-06-05	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	×	× .	~	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	546270	300013	80000001	2021-06-05	× .	1	•	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	
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	~	1	~	Active	DETAILS >

#### AM Data Manager Input Authorise User:

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

#### '**√**' **HKEX Synapse** 🗄 26 August 2022 ④ synuat003 synuat003 ck Fund Details: FUND ID 555555 FUND PROFILE 7 KEY FUND DETAILS FUND PROFILE 1 FUND PROFILE 2 FUND PROFILE 3 FUND PROFILE 4 FUND PROFILE 5 FUND PROFILE 6 X REJECT ZAPE FUND PROFILE STATUS: AM MAKER: APPROVED ~ AM CHECKER: FUND PROFILE DEACTIVATION PENDING APPROVAL GC: APPROVED ~ LC:APPROVED -STATUS: ACTIVE FUND PROFILE DETAILS: ASSET MANAGER DETAILS AM Name: Fund Effective Date: 2021-06-12 549300N66 AM BIC: AM DN: GLOBAL CUSTODIAN DETAILS: LOCAL CUSTODIAN DETAILS FIVCGB21XXX Investor ID: LC Name: LC CCASS ID LC LEI: LC BIC: LC DN: SPSA: Fund Account at GC: 552194 GC Name GC LEI: GC DN: SynComp511 S6LBBAAGSH888 vfunds.ou=80a.o=creschzz

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

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

- 1. The GC Data Manager Input Only User, GC Data Manager Input Authorise User, and LC Data Manager Input Only User, LC Data Manager Input Authorise User will be informed of the fund profile deactivation and its effective date in two ways:
  - Funds List view: changed status to "Inactivation Approved" Note: on the effective date, the status will change to "Inactive" on the Funds List view
  - b. UI Notification on Dashboard page under Funds

# 5.6 Edit Fund Details of an Active Fund

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



#### 5.6.1 Asset Managers (AM)

#### AM Data Manager Input Only User:

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

HKEX Synapse The Power of Connectivity.					=2			<b>⊟</b> 26	26 August 2022 ④ synuat001 synuat001 🗸 💢		
Dashboard		Settlement Instructions		Funds Relationships		Market Data			Reports		
FUNDS	<b>2</b> Awaiting AM Che	ecker Approval	1 1 Awaiting GC Approval Awai	ting LC Approval						Q. Search Generate Repo	rt + New Fund
FUND ID 4 7	FUND NAME A T	GC NAME A T	FUND ACCOUNT AT GC 7 7	INVESTOR ID	SPSA ≜ Ŧ	FUND EFFECTIVE DATE	AM ^	GC ≜	LC ^	STATUS A T	
AM_User_One	UBS Asia Fund	SynComp511	8004872	300013	80000000	2021-06-05	~	1	1	Active	DETAILS >
555555	Fidelity Asia Fund	SynComp511	742194	300013	80000001	2022-08-12	•	-	-	Pending AM Checker Approval	DETAILS >
555555	Fidelity Asia Fund	SynComp511	552194	600002	80000002	2021-06-12	•	×	1	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	~	× -	$\checkmark$	Active	DETAILS >
552102	Fidelity Asia Fund 2102	SynComp511	542102	300013	80000001	2021-06-05	~	× .	1	Active	DETAILS >
552014	Fidelity Asia Fund	SynComp511	542014	300013	80000001	2021-06-05	~	~	× -	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.
| ETAILS FUND PROFILE 1 |                        |   |                |            |
|-----------------------|------------------------|---|----------------|------------|
| FUND STATUS:          |                        |   |                |            |
| AM MAKER: APPROVED -  | AM CHECKER: APPROVED - |   | STATUS: ACTIVE | DEACTIVATE |
|                       |                        | FUND DETAILS:   |                |            |
|                       |                        | Fund Name: Fidelity Asia Fund<br>Fund LD: 549021463/101033481<br>Fund Ibbinerita: Fidelity Orobal Fund<br>Fund Domicile: US<br>Fund D: 523411<br>Fund Alternative ID (Optional): 777777 |                |            |
|                       |                        | DEFAULT SETTLEMENT MODE:<br>Settlement Mode - Buy Trade: DVP<br>Settlement Mode - Sett Trade: DVP   |                |            |
|                       |                        | FUND PROCESSING DETAILS:  |                |            |
|                       |                        | Fund Effective Date: 2021-06-05   |                |            |

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

FUND DETAILS	
* Fund Name :	Fidelity Asia
Fund LEI :	549302N66LYETIGS3
Fund Umbrella :	Fidelity Global Fi
Fund Domicile :	
* Fund ID :	52
Fund Alternate ID :	
DEFAULT SETTLEMENT MODE :	
* Settlement Mode - Buy Trade :	
* Settlement Mode - Sell Trade :	
UND PROFILE PROCESSING DETAILS :	

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund LEI	Legal Entity Identifier for the Fund	String	20	0	N/A
Fund Umbrella	Name of the fund umbrella. An AM can label a Fund for a Fund Umbrella Structure	String	50	0	Max 50 characters
Fund Domicile	Domicile of the fund defined by two-letter country in ISO 3166-1- alpha-2 code	String	2	0	2 characters
Fund Alternative ID	Field can be used by AM to link fund to a different ID, e.g., for integration into other systems	String	20	0	N/A
Settlement Mode – Buy Trade	Default Settlement Mode for buy trade (DVP, RDP or FOP)	String	3	М	#N/A
Settlement Mode – Sell Trade	Default Settlement Mode for sell trade (DVP, RDP or FOP)	String	3	М	3 characters

Field Name	Description	Туре	Size	Mandatory or Optional (M/O)	Syntax Validation
Fund Effective Date	The date from which the fund is active on the system	Date	20	Μ	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.

und Details: FUND ID AM_User_On				- A
DETAILS FUND PROFILE 1				
UND STATUS:				* REJECT APPROVE
AM MAKER: APPROVED	AM CHEC	KER: PENDING APPROVAL		STATUS: PENDING AMENDMENT APPROVAL
		FUND DETAILS:		
		Fund Name:	UBS Asia Fund	
			9300N66LYETIGSH430	
		Fund Umbrella: Fund Domicile:	UBS Global Fund	
		Fund Domicile:	US AM_User_One	
		Fund Alternative ID (Optional		
		DEFAULT SETTLEMENT MO	DE:	
		Settlement Mode - Buy Tr	ade: DVP	
		Settlement Mode - Sell Tr		
		FUND PROCESSING DETAIL	S:	
			2024 00 45	

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



#### 5.8.1 Global Custodians (GC)

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

#### GC Data Manager Input Only User:

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

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

C	)ashboard	Settlement Instru	ctions	Funds		Relations	hips	Market Da	a		Reports	
FUNDS	<b>1</b> Awaiting G	O C Maker Approval Awaiti	ng GC Check	er Approval Awaiting L	C Approval						Q Search Gen	erate Repo
FUND ID A 🔻	FUND NAME 4 7	FUND ACCOUNT AT GC	AM NAME	GC'S ACCOUNT AT LC	LC NAME * *		SPSA A T FUND EFFECTIV	E DATE A	n≜ GC	≜ LC	△ STATUS △ ▼	
555555	Fidelity Asia Fund	542194	SynComp501		SynComp521		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		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.

Back Fund (	etails: FUND ID 555555				
Y FUND DET,	AILS FUND PROFILE 1	FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4 FUN	ND PROFILE 5	
FUND PRO	FILE STATUS:				
	AM: APPROVED ~	GC MAKER: APPROVED - GC CHE	CKER: APPROVED -	LC: APPROVED ~	STATUS: ACTIVE
FUND	PROFILE DETAILS:		ASSET M	ANAGER DETAILS:	
Fu	nd Effective Date:	2021-06-05	AM Na		SynComp501
			AM LE		549300N66LYETIGSH384 DTCCMEORXXX
			AM BI		cn=invfunds.ou=80a.o=creschzz
GLOB	AL CUSTODIAN DETAILS:		Amo		cit=invititus,ou=oba,o=crescitzz
60	BIC:	FIVCGB21XXX	LOCAL CI	USTODIAN DETAILS:	Reappoint
	nd Account at GC:	542194	Invest	- 10	300013
GC	Name:	SynComp511	I C Na		SynComp521
GC	LEI:	222200N66LBBAAGSH888		CASS ID:	C00016
	DN:	cn=invfunds,ou=80a,o=creschzz	LCLE		621344ABC32JRTFGR421
GC	"s Account at LC:	762194	LC BI	C:	JMPPMJ55XXX
			LC DN		cn=invfunds,ou=80a,o=creschzz
			SPSA		80000001

- 5. The GC Data Manager Input Only User is required to update 3 fields for the new LC that the GC Data Manager Input Only User would like to reappointment:
  - a. "Investor ID"
  - b. "GC's Account at LC"
  - c. "Reappointment Effective Date"
  - d. Note:

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

(2) GC can only reappoint to a new LC with different Investor ID with the reappointment function. If a new profile with the same LC but different investor ID is required, the

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

HKEX Synapse The Power of Connectivity.			岩 26 August 2022 🕃 synuat071 synuat071 🗸
Back Fund Details: FUND ID 555555			
FUND DETAILS FUND PROFILE 1	FUND PROFILE 2 FUND PROFILE 3	FUND PROFILE 4 FUND PROFILE 5	
GC LEB: GC LEB: GC DN: GC's Account at LC:	SynCompSt1 222200168LEBJAGSH68E on-invlutids,ou=50a,o=creatizz 762456	LC Name: LC CCASS D: LC LE: LC BIC: LC BIC: LC DN: SPSA:	SynCompS21 C00016 62134ABC32JRTFGR421 JUPPMAS5002 cn=imfunds.ou=00.s-creative 8000001 900111 the LC, provide the following information: 300013 762466 2022-062 39rrCompS21 8000001 62134ABC2JRTFGR421 C00016 62134ABC2JRTFGR421 C0016 62134ABC2JRTFGR421 C0016 62134ABC2JRTFGR421 C0016 62134ABC2JRTFGR421 C0016 62134ABC2JRTFGR421 C0016 62134ABC2JRTFGR421 C0016 62134ABC2JRTFGR421 C0016 62134ABC2JRTFGR421 C0016 62134ABC3DR426 C0016 62134ABC3DR426 C0016 62134ABC3DR426 C0016 62134ABC3DR46 C0016 C0016 C0016 C0016 C00016 C00

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

HKEX Synap The Power of Connectivity.	se	S.			🖻 26 August 2022 @ synuat071 synuat071 🕤 🔀
← Back Fund Details: FUND	ID 555555				
KEY FUND DETAILS FUN	ND PROFILE 1 FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	FUND PROFILE 5	
GC Name:		SynComp511		LC Name:	SynComp521
GC LEI:		222200N66LBBAAGSH888		LC CCASS ID:	C00016
GC DN:		invfunds,ou=80a,o=creschzz		LC LEI:	621344ABC32JRTFGR421
GC's Account at L	D:	762456		LC BIC:	JMPPMJ55XXX
				LC DN:	cn=invfunds,ou=80a,o=creschzz
				SPSA:	80000001
				*Investor ID: *GC's Account at LC: *Reappointment Effective Date:	300013 762456 2022-08-26
				LC Name:	SynComp521
				SPSA:	8000001
				LC CCASS ID:	C00016
				LC LEI:	621344ABC32JRTFGR421
				LC BIC:	JMPPMJ55XXX
				LC DN:	cn=invfunds,ou=80a,o=creschzz
					Cancel Submit

#### GC Data Manager Input Authorise User:

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

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

HKEX Syr The Power of Connect Connection Connection Connectica Co	Tapse vity. FUND ID 555555		S				🖻 26 August 2022 🕲 synuat073 synuat073 🤟	X
KEY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	UND PROFILE 3 A	FUND PROFILE	4 FUND PR	OFILE 5		
	PROVED	GC MAKER: APPROVED -	GC CH	ECKER: APPROVED ~		C: APPROVED ~	STATUS: ACTIVE	
FUND PROFILE	EDETAILS:				SSET MANAGER I	DETAILS:		
Fund Effect	tive Date:	2021-06-05			AM Name: AM LEI: AM BIC:		SynComp501 549300N66LYETIGSH384 DTCCMEORXXX	
GLOBAL CUST	ODIAN DETAILS:				AM DN:		cn=invfunds,ou=80a,o=creschzz	
GC BIC:			FIVCGB21XXX		LOCAL CUSTOD	IAN DETAILS: Reject LC Re	appointment Accept LC Reappointment	
Fund Accor	unt at GC:		546272		Investor ID:		600002	
GC Name:			SynComp511		LC Name:		SynComp521	
GC LEI:		223	200N66LBBAAGSH888		LC CCASS ID:		C00016	
GC DN:		cn=invfu	nds,ou=80a,o=creschzz		LC LEI:		621344ABC32JRTFGR421	
GC's Accou	unt at LC:		762456		LC BIC:		JMPPMJ55XXX	
					LC DN:		cn=invfunds,ou=80a,o=creschzz	
					SPSA:		8000001	

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

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

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

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

HKEX Syr	ivity.		S			🖿 26 August 2022 ④ synuat073 synuat073 🦤 🂙	¢
←Back Fund Details:							
KEY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3 A	FUND PROFILE 4	FUND PROFILE 5		
							1.1
FUND PROFILE \$	TATUS:						- L
AM: APF	PROVED	GC MAKER: APPROVED	GC CHI	ECKER: APPROVED ~	LC: APPROVED	STATUS: ACTIVE	
FUND PROFILE	E DETAILS:			A	SSET MANAGER DETAILS:		
Fund Effect	tive Date:		2021-06-05		AM Name:	SynComp501	- 1
					AM LEI:	549300N66LYETIGSH384	
					AM BIC:	DTCCMEORXXX	
	ODIAN DETAILS:				AM DN:	cn=invfunds,ou=80a,o=creschzz	- 1
	ODIAN DETAILS.			·	LOCAL CUSTODIAN DETAILS:	Reject LC Reappointment Accept LC Reappointment	
GC BIC:			FIVCGB21XXX	-			
Fund Accor	unt at GC:		546272		Investor ID:	600002	
GC Name:			SynComp511		LC Name:	SynComp521	
GC LEI:			222200N66LBBAAGSH888		LC CCASS ID:	C00016	
GC DN:		cn=ii	nvfunds,ou=80a,o=creschzz		LC LEI:	621344ABC32JRTFGR421	
GC's Accou	unt at LC:		762456		LC BIC:	JMPPMJ55XXX	
					LC DN:	cn=invfunds,ou=80a,o=creschzz	
					SPSA:	8000001	

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

The Power of Connect	wity.						🖶 26 August 2022 ④ synuat073 synuat073 🕤
← Back Fund Details:	FUND ID 555555						
EY FUND DETAILS	FUND PROFILE 1	FUND PROFILE 2	FUND PROFILE 3	FUND PROFILE 4	FUND	PROFILE 5	
FUND PROFILE S	TATUS:						
AM: API	PROVED~	GC MAKER: APPROVED -	GC CH	ECKER: APPROVED	/	LC: APPROVED ~	STATUS: ACTIVE
FUND PROFIL	E DETAILS:			_	ASSET MANA	GER DETAILS:	
Fund Effec	tive Date:		2021-06-05		AM Name:		SynComp501
					AM LEI:		549300N66LYETIGSH384
					AM BIC:		DTCCMEORXXX
GLOBAL CUST	TODIAN DETAILS:			1	AM DN:		cn=invfunds,ou=80a,o=creschzz
GC BIC:			FIVCGB21XXX	_	LOCAL CUST	DDIAN DETAILS:	Reappoint
Fund Acco	unt at GC:		546272		Investor IE		600002
GC Name:			SynComp511		LC Name:	<i>.</i>	SynComp521
GC LEI:			22200N66LBBAAGSH888		LC CCASS	ID:	C00016
GC DN:		cn=in	/funds,ou=80a,o=creschzz		LC LEI:		621344ABC32JRTFGR421
GC's Acco	unt at LC:		762456		LC BIC:		JMPPMJ55XXX
					LC DN:		cn=invfunds,ou=80a,o=creschzz
					SPSA:		8000001

## 5.8.2 Local Custodians (LC)

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

## 6. Accounts

## 6.1 Account Onboarding

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

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

#### 6.1.1 Exchange Participant (EP)





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

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

HKEX The Power of C	Synapse					🛅 25 August 2022 🕲 synuat211 synuat211 -				211 - 🗙
Da	shboard	Settlement Instruct	lions Account	ts	Relationships	Market Data			Reports	
ACCOUNTS		P Checker Approval	O Awaiting CP Approval				Q Search	Gene	rate Report	+ New Account
CP NAME * *	CP LEI * *	CP BIC 4 T	CP DN 4 T	CP CCASS ID 4 7	EP'S ACCOUNT AT CP 4 T	ACCOUNT EFFECTIVE DATE	* EP	- CP4	STATUS A T	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2021-06-05	~	~	Active	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900547	2021-06-05	~	~	Active	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900548	2021-06-05	1	~	Active	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=im/lunds,ou=80a,o=creschzz	801110	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

HKEX Synapse The Power of Connectivity.		☐ 25 August 20.	22 🕃 synuat211 synuat211 🗸
ew Account			Cancel Su
	Please provide the following information:		
	CP DETAILS:		
	* CP Name :	SynComp541 *	
	CP LEI:	812700N66LADSERSH679	
	CP BIC :	DTCCDEAGXXX	
	CP DN :	cn=invfunds,ou=80a,o=creschzz	
	CP CCASS ID :	B01110	
	ACCOUNT:		
	Account		
	* FP's Account at CP :	000.199	
HKEX Synapse	* FP's Account at CP :		22 @ synual211 synual211 ~
	* FP's Account at CP :		
	* FP's Account at CP :		
	• FP's Account at CP :	E 25 August 20	
	*FP's Account at CP :	25 August 20 812700N66LADSERSH679	
	*FP's Account at CP : CP LEI: CP BIC :	E 25 August 20 812700N68LADSERSH679 DTCCDEAGXXX	
HKEX Synapse The Power of Connectivity w Account	*FP's Account at CP :  PP EI:  CP EI:  CP DC:  CP DD:	E 25 August 20 812700N68LADSERSH679 DTCCDEAGXXX cn=im/funds.ou=50a.o=creschzz	
	PP's Account at CP :      CP LEI :      CP DIC :      CP DIC :      CP DIC :      CP CASSID :	E 25 August 20 812700N68LADSERSH679 DTCCDEAGXXX cn=im/funds.ou=50a.o=creschzz	
	*FP's Account at CP : CP LEI : CP BC : CP CCASSID : ACCOUNT:	€ 25 August 20 812700N66LADSERSH679 DTCCDEAGXXX cn=inr/unds.ou=80a.o=cresktzz B01110	

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

New Account		▲The record already exist.		Cancel	Submit
Pleas	e provide the following information:				
	CP DETAILS:				
	* CP Name :		SynComp205 *		
	CP LEI :		KBKRB5THACAR89U6TMC5		
	CP BIC :		SYNCOMP205X		
	CP DN :		cn=invfundd,ou=80d,o=creschzd		
	CP CCASS ID :		B01450		
	ACCOUNT:				
	" EP's Account at CP :		903008		

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

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

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

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

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

Awaiting EP Checker Approval Awaiting CP Approval           CP MME <sup>®</sup> CP EI <sup>®</sup> CP DN <sup>®</sup> CP CASSID <sup>®</sup> ACCOUNT EPFECTIVE DATE <sup>®</sup> EP <sup>®</sup> CP <sup>®</sup> STATUS <sup>®</sup> SynComp541         812700H66LADSERSH079         DTCCDEAXXX         cn=iwindus ou=80a,o=creatotiz         B0110         900546         2021-06-05         ✓         Active         DETAILS           SynComp541         812700H66LADSERSH079         DTCCDEAXXXX         cn=iwindus ou=80a,o=creatotiz         B0110         900547         2021-06-05         ✓         Active         DETAILS           SynComp541         812700H66LADSERSH079         DTCCDEAXXXX         cn=iwindus ou=80a,o=creatotiz         B01110         900547         2021-06-05         ✓         Active         DETAILS           SynComp541         812700H66LADSERSH079         DTCCDEAXXXX         cn=iwindus ou=80a,o=creatotiz         B01110         900547         2021-06-05         ✓         Active         DETAILS           SynComp541         812700H66LADSERSH079         DTCCDEAXXXX         cn=iwindus ou=80a,o=creatotiz         B01110         900547         2021-06-05         ✓         Active         DETAILS	HKEX The Power of	Synapse		{				🖻 25 August 2022 ⊕ synuat211 synuat211 ∨			211 - 🗙
Awaiting EP Checker Approval         CP DAME*         CP DAME*         CP CASE         CP CASEs         CP CASEs <thcp cases<="" th="">         CP CASEs         <thcp c<="" th=""><th></th><th>ashboard</th><th>Settlement In</th><th>structions</th><th>Accounts</th><th>Relationship</th><th>os Market I</th><th>Data</th><th></th><th>Reports</th><th></th></thcp></thcp>		ashboard	Settlement In	structions	Accounts	Relationship	os Market I	Data		Reports	
CP NAME**         CP EIE**         CP BIC**         CP DN **         CP CASSID**         EPS ACCOUNT AT CP**         ACCOUNT EFFECTIVE DATE**         EP*         CP*         STATUS**           SynComp541         812700N86LADSERSH979         DTCCDEAGXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900546         2021-06-05         ✓         ✓         Active         DETALLS           SynComp541         812700N86LADSERSH979         DTCCDEAGXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900547         2021-06-05         ✓         ✓         Active         DETALLS           SynComp541         812700N86LADSERSH979         DTCCDEAGXXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900547         2021-06-05         ✓         ✓         Active         DETALLS           SynComp541         812700N86LADSERSH979         DTCCDEAGXXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900549         2021-06-05         ✓         ✓         Active         DETALLS           SynComp541         812700N86LADSERSH979         DTCCDEAGXXXX         cm+invhunds.qu=80a.g=resebuz         B0110         900549         2021-06-05         ✓         ✓         Active         DETALLS	ACCOUNT		ED Chasker Appr						۹	Search Generate Report	+ New Account
SynComp54         102700N86LADSERSH679         DTCCDEAGXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900545         2021-06-05         ✓         ✓         Active         DETALLS           SynComp54         812700N86LADSERSH679         DTCCDEAGXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900547         2021-06-05         ✓         ✓         Active         DETALLS           SynComp54         812700N86LADSERSH679         DTCCDEAGXXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900545         2021-06-05         ✓         ✓         Active         DETALLS           SynComp54         812700N86LADSERSH679         DTCCDEAGXXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900549         2021-06-05         ✓         ✓         Active         DETALLS           SynComp54         812700N86LADSERSH679         DTCCDEAGXXXX         cm=Invhunds.ou=808.o=c=resetzz         B0110         900549         2021-06-05         ✓         ✓         Active         DETALLS		-			00.00400.004			50.4	cn		
SynComp541         812700W68LADSERSH679         DTCCDEAGXXXX         cm=im/lunds_ou=80a_o=creschzz         B01110         900548         2021-08-05         ✓         ✓         Active         DETAILS           SynComp541         812700W68LADSERSH679         DTCCDEAGXXXX         cm=im/lunds_ou=80a_o=creschzz         B01110         900549         2021-08-05         ✓         ✓         Active         DETAILS											
SynComp541 812700N66LADSERSH679 DTCCDEAQXXX cn=lm/lunds.ou=68a,o=creschzz B01110 900549 2021-06-05 🗸 🗸 Active DETAILS	SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900547	2021-06-05	~	~	Active	
	SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900548	2021-06-05	~	~	Active	DETAILS
SynComp541 812700N86LADSERSH679 DTCCDEAGXXX cn-invlunds,ou=80a,o=creschzz B01110 900428 2021-06-05 • - Pending EP Checker Approval DETALLS	SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900549	2021-06-05	~	1	Active	DETAILS
	SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900428	2021-06-05		-	Pending EP Checker Approval	DETAILS

- 5. The EP Data Manager Input Authorise User will be informed about the Account creation in two ways:
  - a. Dashboard view: increased counter in the Accounts section under "Awaiting EP Checker Approval"
  - 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".

ial Account Details: SynComp541		< B₂	ack to Account List ×Reject ✓App
Account Status:			× Delete Account Creation
EP Maker: Approved ~	EP Checker: Pending Approval	CP: Pending	Status: Inactive
ACCO	UNT DETAILS:		
EP .	DETAILS:		
E	P Name :	SynComp531	
E	PLEI:	151500N66LJYHJUL934	
E	P BIC :	DTCCSELLXXX	
E	2 DN :	cn=invfunds,ou=80a,o=creschzz	
E	P SEHK ID :	1430	
СР	DETAILS:		
	P Name :	SynComp541	

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

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

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

#### Approval by EP Data Manager Input Only User;

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



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

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

HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 (@ synuat214 synuat214 🖉 🗙
Initial Account Details: SynComp541		Gack to Account List ×Reject      ✓Approve
Account Status:	NEW ACCOUNT REJECTION:	× Delete Account Creation
EP Maker: Approved ~	Please provide a comment below:	Status:Inactive
	Comment	
AC	cc	
	EP	
	E	5531
	E	Cancel .934
		xxx
	E	chzz
	E	1430
	CP DETAILS:	_
	CP Name :	SynComp541
HKEX Synapse		🖻 25 August 2022 🛞 synuat214 synuat214 🗸 💢
HKEX Synapse The Power of Connectivity. Initial Account Details: SynComp541		
Initial Account Details: SynComp541	NEW ACCOUNT REJECTION:	Back to Account List      KReject      ✓Approve
Initial Account Details: SynComp541 Account Status:	NEW ACCOUNT REJECTION: Please provide a comment below:	Hitck to Account List      ×Reject      ✓Approve     ✓ Delete Account Creation
Initial Account Details: SynComp541	Please provide a comment below:	Back to Account List      KReject      ✓Approve
Initial Account Details: SynComp541 Account Status:	Please provide a comment below: reason	Hitck to Account List      ×Reject      ✓Approve     ✓ Delete Account Creation
Initial Account Details: SynComp541 Account Status: EP Maker: Approved < AC	Please provide a comment below: reason	Hitck to Account List      ×Reject      ✓Approve     ✓ Delete Account Creation
Initial Account Details: SynComp541 Account Status: EP Maker: Approved < AC	Please provide a comment below:	Hitck to Account List      ×Reject      ✓Approve     ✓ Delete Account Creation
Initial Account Details: SynComp541 Account Status: EP Maker: Approved < AC	Please provide a comment below:	
Initial Account Details: SynComp541 Account Status: EP Maker: Approved < AC	Please provide a comment below:	* Back to Account List × Reject / Approve     * Delete Account Creation     Status:Inactive
Initial Account Details: SynComp541 Account Status: EP Maker: Approved < AC	Please provide a comment below:	• Back to Account List ×Reject / Approve     • Delete Account Creation     Status:Inactive      553     553     254
Initial Account Details: SynComp541 Account Status: EP Maker: Approved < AC	Please provide a comment below:	• Back to Account List ×Reject / Approve     • Delete Account Creation     Status:Inactive      2531 254 254 255
Initial Account Details: SynComp541 Account Status: EP Maker:Approved < ACC	Please provide a comment below: reasori	
Initial Account Details: SynComp541 Account Status: EP Maker:Approved < ACC	Please provide a comment below:  reasori  easori reasori  reasori reasori reasori  reasori  reasori re	Cancel Submit
Initial Account Details: SynComp541 Account Status: EP Maker:Approved < ACC	Please provide a comment below: reasori	

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

HKEX Synapse The Power of Connectivity.			n 28	August 2022 🕃 synuat211 synuat211 🗸 🔀
Initial Account Details: SynComp541				←Back to Account List
Account Status:				× Delete Account Creation
EP Maker: Pending A	mendment	EP Checker: Rejected × •	CP: Pending	Status: Inactive
	ACCOUNT DETAILS:		Z	•
	EP DETAILS:			
	EP Name :		SynComp5	81
	EP LEI :		151500N66LJYHJUL9	34
	EP BIC :		DTCCSELLX	x
	EP DN :		cn=invfunds,ou=80a,o=cresch	ZZ
	EP SEHK ID :		14	30
	CP DETAILS:			
	1			

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

HKEX Synapse		E 25 A	ugust 2022 🕃 synual211 synual211 🗸 🂢
Edit New Account Details	<u>م</u>	reason	Cancel Resubmit
	CP BIC :	DTCCDEAGXXX	
	CP DN :	cn=invfunds,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			E 2	5 August 2022 @ synual214 synual214 🗸 💢
Initial Account Details: SynComp541				← Back to Account List × Reject ✓ Approve
Account Status:				$\times$ Delete Account Creation
EP Maker: Approved ~		EP Checker: Pending Approval	CP:Pending	Status: Inactive
Δ	CCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp	531
	EP LEI :		151500N66LJYHJUL	934
	EP BIC :		DTCCSELD	DOX
	EP DN :		cn=invfunds,ou=80a,o=cresc	hzz
	EP SEHK ID :		1	430
	CP DETAILS:			
	CP Name :		SynComp	541

#### 6.1.2 Clearing Participant (CP)

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



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

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

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

HKEX Synapse				🖻 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 :		Sy	mComp531
	EP LEI :		151500N66LJ	IYHJUL934
	EP BIC :		DTC	CSELDOX
	EP DN :		cn=invfunds,ou=80a,	o=creschzz
	EP SEHK ID :			1430
	CP DETAILS:			
	CP Name :		Synt	Comp541

Account Details: SynComp541	▲ To approve, provide the info		unt List ×Reject ✓ Submit For A
Account Status:			
EP: Approved </th <th>CP Maker: Pending Approval</th> <th>CP Checker: Pending</th> <th>Status: Inactive</th>	CP Maker: Pending Approval	CP Checker: Pending	Status: Inactive
	CP DETAILS:		
	CP Name :	SynComp541	
	CP LEI:	812700N66LADSERSH679	
	CP BIC :	DTCCDEAGXXX	
	CP DN :	cn=invfunds,ou=80a,o=creschzz	
	CP CCASS ID :	B01110	
	CP's Account at CCASS :	11 -	
	ACCOUNT:		
	EP's Account at CP :	900428	

HKEX Synapse		= 25 Au	gust 2022 🕃 synuat281 synuat281 🗸 🔰
nitial Account Details: SynComp541	▲To approve, provide the inf	formation indicated below.	count List × Reject ✓ Submit For Approv
Account Status:			
EP: Approved ~	CP Maker: Pending Approval	CP Checker: Pending	Status: Inactive
	CP DN :	cn=invfunds,ou=80a,o=creschzz	
	CP CCASS ID :	B01110	
	CP's Account at CCASS :	11	
	ACCOUNT:		
	EP's Account at CP :	900428	
	ACCOUNT PROCESSING:		
	Account Effective Date :	2021-06-05	
	Account Mapping Status :	EP Approved	

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

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

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

HKEX Synapse		🖻 25 Augu	st 2022 @ synuat283 synuat283 🗸 🄰
tial Account Details: SynComp541		< Bar	ck to Account List × Reject ✓ Appro
Account Status:			
EP: Approved ~	CP Maker: Approved 🗸	CP Checker: Pending Approval	Status: Inactive
ACC	COUNT DETAILS:		
E	P DETAILS:		
	EP Name :	SynComp531	
	EP LEI :	151500N66LJYHJUL934	
	EP BIC :	DTCCSELLXXX	
	EP DN :	cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :	1430	
C	CP DETAILS:		
	CP Name :	SynComp541	

HKEX Synapse			€ 25 A	igust 2022 @ synuat283 synuat283 🕤 🔀
Initial Account Details: SynComp541				←Back to Account List
Account Status:				
EP: Approved ~		CP Maker: Approved <	CP Checker: Approved ~	Status: Active
	ACCOUNT DETAILS: EP DETAILS: EP Name : EP LEI : EP DIC : EP DIC : EP SEHK ID : CP DETAILS:		SymCompS31 151500H68LiYHJUL834 017CCSELLXXX ch-im/funds.ou-60a, o-creactizz 1430	
	CP Name :		SynComp541	

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

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

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



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

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

HKEX Synapse		🖻 25 August 2022 (	)) synual281 synual281 🗸 💢
Initial Account Details: SynComp541	▲ To approve, provide the information indicated below.	+ Back to Account List	×Reject ✓ Submit For Approval
Account Status: EP:Approved ~	NEW ACCOUNT REJECTION: Please provide a comment below: Please change effective datal	SI	atus: inactive
ACC		2531 Cancel Submit 2934 XXX chez 1430	
	CP Name :	SynCompS41	

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

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

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

#### button and then select "Reject Back to EP":

HKEX Synapse		-	25 August 2022 🕃 synual283 synual283 🗸 🂢
Initial Account Details: SynComp541			← Back to Account List × Reject
Account Status: EP:Approved ~	CP Maker: Rejected × ●	▲CP Checker: Rejection Pending Approval	Reject Back To Maker Reject Back To EP Status:inactive
	ACCOUNT DETAILS:		
	EP DETAILS:		
	EP Name :	SynCom	np531
	EP LEI :	151500N66LJYHJU	11934
	EP BIC :	DTCCSEL	Doox
	EP DN :	cn=invfunds,ou=80a,o=cre	schzz
	EP SEHK ID :		1430
	CP DETAILS:		
	CP Name :	SynCom	np541

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

HKEX Synapse The Power of Connectivity.		🗎 25 August 2022 @ synual283 synual283 🤟 💢
Initial Account Details: SynComp541	To approve, provide the information indicated below.	+Back to Account List × Reject × Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP: Approved ~	Please provide a comment below:	Status: Inactive
	Comment	
ACC	c	
E	P	
	E	2531
	E Cancel	1934
	E	xxx
	ŧ	chzz
	1	1430
c	P DETAILS:	
-	CP Name :	SynComp541

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

the Account submission	back to the EP Da	ta Managor Innu	It Only Llear
	Dack to the LF Da	ila manayer mpu	

HKEX Synapse The Power of Connectivity.		🛅 25 August 2022 @ synuat283 synuat283 🗸 💢
Initial Account Details: SynComp541	To approve, provide the information indicated below.	← Back to Account List × Reject ✓ Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP:Approved ~	Please provide a comment below:	Status: Inactive
А	Please change CP's account at CCASS	
	EP E	-531
	c,	Incel Submit 1934
		ch22 1430
	CP DETAILS:	SynComp541
· · ·		

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

#### Approval by CP Data Manager Input Only User;

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

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



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

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

HKEX Synapse The Power of Connectivity.		25 Augu	st 2022 🕘 synual/283 synual/283 🗸 🔀
Initial Account Details: SynComp541			ck to Account List × Reject ✓ Approve
Account Status: EP: Approved ~	CP Maker: Approved ~	CP Checker: Pending Approval	Reject Back To Maker Reject Back To EP Status:Inactive
	ACCOUNT DETAILS:   EP DETAILS:		
	EP Name :	SynComp531	
	EP LEI :	151500N66LJYHJUL934	
	EP BIC :	DTCCSELLXXX	
	EP DN :	cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :	1430	
	CP DETAILS:		
	CP Name :	SynComp541	

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

HKEX Synapse The Power of Connectivity.		25 August 2022 🛞 synuat283 synuat283 🗟 💢
Initial Account Details: SynComp541		+ Back to Account List × Reject ✓ Approve
Account Status: EP:Approved -/	NEW ACCOUNT REJECTION: Please provide a comment below:	Status: Inactive
	ACCC	
	EP E	
	Cancel Scheme	XXX chzz
		1430
	CP DETAILS: CP Name : SynCom	p541

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

HKEX Synapse The Power of Connectivity.		🖻 25 August 2022 @ synual283 synual283 🗟 🏹
Initial Account Details: SynComp541		← Back to Account List × Reject ✓ Approve
Account Status:	NEW ACCOUNT REJECTION:	
EP:Approved~	Please provide a comment below:	Status: Inactive
A	Change CP's account at CCASS	
	EP	
		5531
	Cancel Sut	_934 XXXX
	r	chzz
	E	1430
	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

al Account Details: SynComp541	▲ To approve, provide the infor	rmation indicated below.	← Back to Account List × Reject ✓ Submit Fo	r App
Account Status:				
EP: Approved </th <th>CP Maker: Pending Amendment</th> <th>CP Checker: Rejected × •</th> <th>Status: Inactive</th> <th></th>	CP Maker: Pending Amendment	CP Checker: Rejected × •	Status: Inactive	
		Comment:		
	ACCOUNT DETAILS:	Change CP's account	at CCASS	
			CLOSE	
	EP DETAILS:			
	EP Name :		SynComp531	
	EP LEI :	1515	ION66LJYHJUL934	
	EP BIC :		DTCCSELLXXX	
	EP DN :	cn=invfunds,	pu=80a,o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			

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

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



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

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

HKEX Synapse		C 26	August 2022 🕃 synuat283 synuat283 🗟 🔀
Initial Account Details: SynComp541			←Back to Account List × Reject ✓ Approve
Account Status:	CP Maker: Rejected × ●	▲CP Checker: Rejection Pending Approval	Reject Back To Maker Reject Back To EP Status:inacuve
	ACCOUNT DETAILS: EP DETAILS: EP Name : EP LEI : EP BIC : EP DN : EP SEHK ID : CP DETAILS: CP Name :	SynCamp5i 151500M66L/YNJUL92 DTCCSELU02 cn=imvlunds,ou=80a,o=creschu 143 SynCamp54	54 XX 22 80

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

HKEX Synapse		🖻 26 August 2022 @ synual283 synual283 🗸 🂢
Initial Account Details: SynComp541	To approve, provide the information indicated below.	+Back to Account List × Reject × Approve
Account Status: EP:Approved ~	NEW ACCOUNT REJECTION: Please provide a comment below: Comment	Status: Inactive
ACCC EP 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1		-531 -934 XOOK ehuz 1490
	DETAILS: 2P Name :	SynConpS41

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

HKEX Synapse The Power of Connectivity.		🛅 26 August 2022 @ synuat283 synuat283 🗸 💢	
Initial Account Details: SynComp541	▲To approve, provide the information indicated below.	← Back to Account List × Reject × Approx	e.
Account Status:	NEW ACCOUNT REJECTION:		
EP:Approved ~	Please provide a comment below:	Status: Inactive	
AC	Change CP's account at CCASS		
		Cancel Submit 1934 OUX daz 2 430	
( ) -	CP DETAILS:		
	CP Name :	SynComp541	

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

ial Account Details: SynComp541	▲To approve, provide the info	prmation indicated below.	←Back to Acco
Account Status:			
EP: Approved ~	CP Maker: Pending Amendment	CP Checker: Rejected × •	Status: Inactive
		Comment:	
	ACCOUNT DETAILS:	Change CP's account at CCASS	8
		CLOSE	
	EP DETAILS:		
	EP Name :	SynComp531	
	EP LEI :	151500N66LJYHJUL934	
	EP BIC :	DTCCSELLXXX	
	EP DN :	cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :	1430	
	CP DETAILS:		
	CP DETAILS:		

# 6.2 Delete Account Creation Prior to EP's Approval

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



6.2.1 Exchange Participant (EP)

#### EP Data Manager Input Only User:

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

HKEX Synapse				🖻 26 August 2022 🕃 synuat211 synuat211 🗸 💢
Initial Account Details: SynComp541				←Back to Account List
Account Status:				× Delete Account Creation
EP Maker: Pending Ar	nendment	EP Checker: Rejected × •	CP:Pending	Status: Inactive
	ACCOUNT DETAILS:			7 ca
	EP DETAILS:			
	EP Name :		SynC	omp531
	EP LEI :		151500N66LJYH	JUL934
	EP BIC :		DTCCSE	ELLXXX
	EP DN :		cn=invfunds,ou=80a,o=c	reschzz
	EP SEHK ID :			1430
	CP DETAILS:			

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

KEX Synapse Power of Connectivity.				nnn 26 August 2022 ④ synuat211 synuat211 ∨
al Account Details: SynComp541 Account Status:				Generation     Section 4
	EP Maker: Pending Amendment EP Checker: Rejected × •		CP:Pending	Status: Inactive
	ACCOUNT DETAILS:			🖌 Est
	EP DETAILS:			
	EP Name :		SynCo	mp531
	EP LEI :		151500N66LJYHJ	IUL934
	EP BIC :		DTCCSE	LLXXX
	EP DN :		cn=invfunds,ou=80a,o=cr	eschzz
	EP SEHK ID :			1430
	CP DETAILS:			

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

HKEX The Power of	Synapse						<b>a</b> 2	26 August 2022 ③ synuat211 synuat	211 - 🗙
-	Dashboard	Settlement In	structions	Accounts	Relationship	os Market (	Data	Reports	
ACCOUN		EP Checker App	O roval Awaiting CP Approval					Q Search Generate Report	+ New Account
CP NAME 4 7	CP LEI A T	CP BIC 4 T	CP DN 4 7	CP CCASS ID 4 7	EP'S ACCOUNT AT CP 4 7	ACCOUNT EFFECTIVE DATE	EP	△ CP △ STATUS △ ▼	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2021-06-05	~	<ul> <li>Active</li> </ul>	DETAILS >
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900429	2021-06-05	~	<ul> <li>CP Checker Rejected</li> </ul>	DETAILS >
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds,ou=80a,o=creschzz	B01115	900427	2021-06-05	•	<ul> <li>Pending EP Checker Approval</li> </ul>	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 Power of	C Synapse							6 Aug	ust 2022 🕃 synuat211 synuat	211 - 💢
ACCOUN		Settlement In	O roval Awaiting CP Approval	lecounts	Relationship	os Market E	Jata	٩	Reports Search Generate Report	+ New Account
CP NAME A T		CP BIC A T	CP DN A T	CP CCASS ID A T	EP'S ACCOUNT AT CP 4 7	ACCOUNT EFFECTIVE DATE	ED 4	CR	STATUS A T	
SynComp541	812700N66LADSERSH679		cn=invfunds,ou=80a,o=creschzz	B01110	900546	2021-06-05	~	~	Active	DETAILS
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900429	2021-06-05	~	-	CP Checker Rejected	DETAILS >
SynComp542	948522R67AKFNEMM09	GOLDDDEAXXX	cn=invfunds,ou=80a,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 Aug	just 2022 🕃 synual 211 synual 211 🗸 💢
Initial Account Details: SynComp541		÷E	Back to Account List × Deactivate Account
Account Status:			
EP Maker: Approved -/	EP Checker: Approved ~	CP: Approved ~	Status: Active
ACC	OUNT DETAILS:		
EP	P DETAILS:		
	EP Name :	SynComp531	
	EP LEI :	151500N66LJYHJUL934	
	EP BIC :	DTCCSELLXXX	
	EP DN :	cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :	1430	
CF	P DETAILS:		
	CP Name :	SynComp541	

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 Synap	se		🗎 26 August 2022 ③ synuat211 synuat211 🗸			
itial Account Details: SynC	omp541		←Back to Acco	ount List × Deactivate Account		
Account Status: EP Maker: Approved ~		ACCOUNT DEACTIVATION: Please specify account deactivation effective date:	roved ~	Status: Active		
	ACCOUNT DETAILS:	2022 06-26				
	EP Name :		SynComp531			
	EP LEI :		151500N66LJYHJUL934			
	EP BIC :		DTCCSELLXXX			
	EP DN :	cn=inv1	unds,ou=80a,o=creschzz			
	EP SEHK ID :		1430			

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

L	ashboard	Settlement In	structions A	ccounts	Relationship	os Market	Data	Reports	
ACCOUNT		EP Checker App	O roval Awaiting CP Approval				م	Search Generate Report	+ New A
CP NAME 4 T		CP BIC 4 T	CP DN 4 7	CP CCASS ID A T		ACCOUNT EFFECTIVE DATE	EP <sup>A</sup> CP	A STATUS A ▼	
	812700N66LADSERSH679 948522R67AKFNEMM09		cn=invfunds,ou=80a,o=creschzz cn=invfunds.ou=80a.o=creschzz	B01110 B01115	900546 900427	2022-08-27 2021-06-05	× ×	Inactivation Pending Approval Pending EP Checker Approval	DETAI

### 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"

HKEX The Power of	Synapse Connectivity.		6 8				₿ 26	August 2022 🕃 synuat214 synuat2	214 - 🗙
C	Dashboard	Settlement In	structions	Accounts	Relationship	s Market E	ata	Reports	
CCOUNT		EP Checker Appr	O roval Awaiting CP Approval					Q Search Generate Report	+ New Acco
CP NAME A T	CP LEI A T	CP BIC A T	CP DN * *	CP CCASS ID A T	EP'S ACCOUNT AT CP 4 T	ACCOUNT EFFECTIVE DATE	EP^	CP STATUS * T	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2022-08-27	× .	<ul> <li>Inactivation Pending Approval</li> </ul>	DETAILS

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

HKEX Synapse			🖶 26 Augus	it 2022 @ synual214 synual214 🗸 🔀
Initial Account Details: SynComp541		▲Pending Account Deactivation Effective Date: 2022-08-27	←Back to Account List × Re	ject Deactivation <pre> ✓Approve Deactivation</pre>
Account Status:				$\times$ Delete Account Creation
EP Maker: Approved ~		EP Checker: Account Deactivation Pending Approval	CP: Approved 🗸	Status: Active
	ACCOUNT DETAILS			
	EP Name :		SynComp531	
	EP LEI :		151500N66LJYHJUL934	
	EP BIC :		DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=80a,o=creschzz	
	EP SEHK ID :		1430	
	CP DETAILS:			
	CP Name :		SynComp541	

- 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 Synap The Power of Connectivity.	ose	4 💰				₫ 26	August 2022 🕃 synual214 synual2	214 - 🗙
Dashboard	Settlemen	nt Instructions	Accounts	Relationship	os Market D	ata	Reports	
ACCOUNTS	<b>1</b> Awaiting EP Checker A	O Approval Awaiting CP Approval					Q Search Generate Report	+ New Account
CP NAME AT CP LEI AT	CP BIC * *	CP DN A T	CP CCASS ID A T	EP'S ACCOUNT AT CP 4 T	ACCOUNT EFFECTIVE DATE	EP 4	CP STATUS * *	
SynComp542 948522R67AKF		OXX cn=invfunds,ou=80a,o=creschzz		900427	2021-06-05		<ul> <li>Pending EP Checker Approval</li> </ul>	DETAILS >

Notification for Clearing Participant (CP):

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



b. UI Notification on Dashboard page under Accounts

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

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



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

Dashbo	oard Sett	ement Instructio	ns Accour	ıts	Relationships	Market Data			Reports	
ACCOUNTS	<b>1</b> Awaiting EP Che	cker Approval	1 Awaiting CP Approval					Q Se	arch Generate Report +	New Acco
CP NAME A T	CP LEI A T	CP BIC A T	CP DN 4 7	CP CCASS ID	EP'S ACCOUNT AT CP	ACCOUNT EFFECTIVE DATE	EP ^	CP △	STATUS 4 7	
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	900546	2022-08-31	× .	× .	Inactivation Pending Approval	DETAIL
SynComp541	812700N66LADSERSH679	DTCCDEAGXXX	cn=invfunds,ou=80a,o=creschzz	B01110	902658	2021-06-05	~	× .	Active	DETAIL
CP01234_SynapseCP	LAKVM34512JDHRT84596	SYNCOMP326X	cn=invfunds,ou=80a,o=creschzz	B01227	9001961	2021-06-05	•	-	Pending EP Checker Approval	DETAIL
CP01235_SynapseCP	XBCVDU47121234EDFED8	SYNCOMP327X	cn=invfunds,ou=80a,o=creschzz	B01228	9001962	2021-06-05	~	-	EP Approved	DETAIL
SynComp319	9RZRI2GG23QS7M9MS0EG	SYNCOMP319X	cn=invfunds,ou=80a,o=creschzz	B01213	9001963	2021-06-05	× .	~	Active	DETAIL
SynComp283	Q69A8027GL2NPXTRPYQE	SYNCOMP283X	cn=invfunds,ou=80a,o=creschzz	B01138	9007962	2021-06-05	~	~	Active	DETAIL

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

HKEX Synapse The Power of Connectivity.		🖻 26 August 2	022 🖲 synuat214 synuat214 🗸 🗙
Initial Account Details: SynComp541		-31	Deactivation <pre>✓Approve Deactivation</pre>
Account Status:			$\times$ Delete Account Creation
EP Maker: Approved 🗸	EP Checker: Account Deactivation Pending Approval	CP: Approved ~	Status: Active
ACCOUNT	DETAILS:		
EP DET	AIL S:		
EP Nar	ne :	SynComp531	
EP LEI	:	151500N66LJYHJUL934	
EP BIC	::	DTCCSELLXXX	
EP DN	:	cn=invfunds,ou=80a,o=creschzz	
EP SEI	HK ID :	1430	
CP DET	AILS:		
CP Nat	ne :	SynComp541	

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

HKEX Synapse			± 28 /	ugust 2022 @ synual214 synual214 🗸 🔀
Initial Account Details: SynComp541				←Back to Account List
Account Status:				
EP Maker: Approved ~		EP Checker: Approved 🗸	CP: Approved ~	Status: Active
AC	CCOUNT DETAILS:			
	EP DETAILS:			
	EP Name :		SynComp531	
	EP LEI :		151500N66LJYHJUL934	
	EP BIC :		DTCCSELLXXX	
	EP DN :		cn=invfunds,ou=80a,o=creschza	
	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-	Description
header	
Processing	Shows the total number of all Settlement Instructions pending approval or being rejected (please see below for list of Synapse rejection reasons) such that Settlement Instructions have not yet been submitted to CCASS, i.e., no CCASS Input Number has been received yet, on current HKT business day and within the past 31 calendar days.
	Transactions with the following Synapse status are included into that counter:
	<ul> <li>RJGC – rejected by Global Custodian – transaction is rejected by Global Custodian</li> </ul>
	<ul> <li>RJLC – rejected by Local Custodian – transaction is rejected by Local Custodian</li> </ul>
	<ul> <li>RJCP – rejected by Clearing Participant – transaction is rejected by Clearing Participant</li> </ul>
	<ul> <li>RJCE – rejected by CCASS – transaction is rejected by CCASS as it carries information not recognized by CCASS, or due to system error</li> </ul>
	Note: If the SCV is with Synapse status = CTHP (Cancelled by Third Party) but with no CCASS status (i.e., the SN is cancelled before being approved by GC/LC/CP (before directed to CCASS)), it will show as "Processing" in the list view instead of "Cancelled". If such SCV is subsequently being approved by GC/LC / CP, then Synapse will send to CCASS and the unmatched / matched / settled counter will also be
	updated subsequently. Please refer to Section 7.5 for different CCASS status.
Unmatched	Shows the total number of Settlement Instructions (SI) with CCASS status "Unmatched" on current HKT business day and within the past 31 calendar days.
	Transactions with the following CCASS status are included into that counter:
	NCRR – settlement currency unmatch

Section Sub-	Description
header	
	DSEC – stock code/ISIN unmatch
	DQUA – quantity unmatch
	<ul> <li>CMIS – no possible matching SI found</li> </ul>
	OTHR – other
	<ul> <li>FRAP – payment instruction unmatch</li> </ul>
	<ul> <li>PODU – possible matching SI but not earmarked as pairs</li> </ul>
	<ul> <li>SAFE – client A/C no. unmatch</li> </ul>
	DMON – money value unmatch
	DDAT – settlement date unmatch
	DELN – transaction direction unmatch
Matched	Shows the total number of Settlement Instructions (SI and STI) with CCASS Status "Matched" on current HKT business day and within the past 31 calendar days.
	The CCASS statuses supported by Synapse are:
	MTCH – matched
	CYCL – matched – payment validated
	CVAL – matched – RDP shares on hold
	PREA – matched – matched on hold or counterparty instruction on
	hold
	CAIS – pending for transfer (STI only)
Settled	Shows the total number of Settlement Instructions (SI and STI) with CCASS Status "Settled" for SI or "Transferred" for STI on current HKT business day. If the settlement instruction settled on current HKT business day is not created today (e.g. created previously on T-1), the "Settled" counter will not be reflected.
	The CCASS statuses supported by Synapse are:
	SETD – settled
Cancelled*	Shows the total number of all cancelled transaction of SI and STI (all end of lifecycle statuses) on current HKT business day which is the same as the creation date. Cancelled SI / STI before approval will not be reflected.
	The CCASS statuses supported by Synapse are:
	<ul> <li>CSUB – cancelled – revoked SI by counterparty</li> <li>CANS – cancelled – SI/STI purged</li> </ul>
	CANI – cancelled or revoked SI OR unmatched SI deleted OR
	1

Section Sub- header	Description
	cancelled for STI

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			Processi	ng Unmatche	ed Matched	Settled	Cancelled							2021-05	-05
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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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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)

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Sottlement Inst	tructions																Asset Manager	
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STI	882231	CNE100003059 CNE100003059	29,625	CNV			4,065,93		DELI	DVP	542231 542231	DTCCSELLXXX	2119994155771021 2962094155771021				El Bale Tune	
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si	882231	CNE100003059	29.622	CNY			4.065.93		DELI	DVP	542231	01000220000	2119994155771021	1	1	-	Clepset	
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31	882231	CNE100003059	29,624	CNY			4,065,9	77.07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched DE1	
si	882231	CNE100003059	29,623	CNY			4,065,9	77.07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched DET	TAILS >
SI	882231	CNE100003059	29,626	CNY			4,065,93	7.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	~	-	Unmatched DET	TAILS >
51	882231	CNE100003059	2,231	CNY			4,065,93		DELI	DVP	542231	DTCCSELLXXX	2231994155771021	-	-	-	DET	TAILS >
STI	882231	CNE100003059	22,312	CNY			4,065,93		DELI	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-		TAILS >
51	552775	CNE100003059	2,775	CNY			4,065,03	77.07	DELI	DVP	543008	DTCCSELLXXX	3008994155771021	~	~	~	Sotted DE1	TAILS >

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

## 7.1.1.2 Asset Manager Middle Outsourcing Operator (AMOO)



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

## 7.1.1.3 Global Custodians (GC)

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ttler	ment Instructions											
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	SETTLEMENT		-	0 Unmatched	-	-				0	Q Search Gen	
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NS YPE	INSTRUCTIONS		Processing	Unmatched	Matched	Settled	Cancelled		** EP BIC ** TRADE ID ** DTCCSELLXXX 6058768034052433	GC≜∓LC≜	2021-06-05	nerate Repo C A <del>+</del> DETAILS
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Field	Description
INS TYPE	Indicating the instruction type, i.e., SI, STI, SSTI
ISIN	International Securities Identification Number. It can be used as a unique identifier for a stock
Quantity	Trade quantity
Settlement Currency	Contractual settlement currency of the trade
Settlement Amount	Contractual settlement amount of the trade
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment Mode	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Fund Account at GC	Fund account No. at GC for the Fund of the trade
EP BIC	EP Business Identification Code
Trade ID	Assigned Trade ID created from DTCC
GC	Status of GC approval of the settlement instruction
LC	Status of LC approval of the settlement instruction
СР	Status of CP approval of the settlement instruction
Status	Unmatched, Matched, or Settled status of the settlement instruction

## 7.1.1.4 Local Custodians (LC)

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	Dashboard		Settlement	Instructions			Fur	nds		Relationships		Ma	irket Data			F	Re ACTING AS:	
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																	Sunction 1 : Data Manager	
ETTLEME	NT INSTRUCT	IONS	5	5	0	1 0											Role Type Input Authori	se Re
			-	ssing Unmatc													Runoton 2 : Transaction-Bata	-
INS TYPE 4 7	ISIN * *	QUANTITY * *	SETTLEMENT CURREN	CYAT				TYPE	PAYMENT MODE ***	GC ACCOUNT AT LC * *	CP CCASS ID 1 *	SPSA ^ *	TRADE ID **	GC * *	LC * *	CP ^ *	5 4 Function 5 : SYN User	
STI	CNE100003059	22,312	CNY		4,065,977.03			DEU	CVP	762231	C00016	20101001	2231094155771021	-	-	-	STN USER	1.5
54	CNE100003053	2,231	CNY		4,065,977.07			DEU	OVP	762231	E01110	80101001	2231994155771021	-	-	-	Ingut Authorit	ise 🔹
51	CNE100003059	29,625	CNY		4,065,977.07			DEU	OVP	762231	B01110	80101001	2119994155771021	-	-	-	⊙Lognet	
STI	CNE100003059	29,627	ONY		4,065,977.07			DEU	DVP	762231	C00018	80101001	2962094155771021	-	-	-		•••
STI	CNE100003059	29,627	CNY		4,065,977.07			DELI	OVP	762231	C00016	80101001	2962094155771021	-	-	-		TAILS >
si	CNE1000030.59	29,622	CNY		4,065,977.07			DELI	OVP	762231	B01110	80101001	2119994155771021	~	~	-		TAILS >
SI	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	E01110	80101001	2119994155771021	~	×	-		TAILS >
si	CNE100003059	29.624	CNY		4,065,977.07			DEU	OVP	762231	B01110	80101001	2119994155771021	~	~	-		TAILS >
51	CNE1000030 59	29,623	CNY		4,065,977.03			DELL	DVP	762231	B01110	80101001	2119994155771021	~	~	-		TAILS >
SI	CNE100003059	29,625	CNY		4,065,977.03			DELL	CVP	762231	E01110	80101001	2962994155771021	~	~	-		STAILS >
SI	CNE100003059	2,775	CNY		4.065.977.03			DELI	OVP	763008	801455	80101001	3008994155771021				Settled DE	TAILS >

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

## 7.1.2 Sell Side

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

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

## 7.1.2.1 Exchange Participant (EP)

HKEX The Power of C	Synapse														🗎 11 Apri		tuat214 synuat214 Is Organization: SynCurry531	<b>.</b> X
	Dashboard		Settlement	Instructions				Accounts		Relationships		Market Data				Re ,	ICTING AS:	
Settlement Inst	ructions																Bidentity: Exohange Participant	
SETTLEME		IONS	9	0	0	1	1										Function 1 : Transaction-Balances Bale Type Input-Authorise	e Rep
			Proce	ssing Unmatch	hed Matche	d Settled	Cancelle	d								ľ	Function 2 : SYN User Role Type: Input-Authories	
INS TYPE ^ *	ISIN 1 T	QUANTITY 4 7	SETTLEMENT CURRE	NCY	SETTLEM	ENT AMOUN	NT 4 T	TYPE * *	PAYMENT MODE 4 T	EP'S ACCOUNT AT CP - *	AM BIC * *	TRADE ID * *	CP 4 T	GC 4 T	LCAT	STATUS .		
11	CNE100003059	22,312	CNY		4,065,977.	07		RECE	DVP	900545	DTCCMEORXXXX	6555324624102231	-	-	-		Data Manager	1.2
1	CNE100003059	2,231	CNY		4,065,977			RECE	DVP	900545	DTCCMEORXXX	6855324624182231	-	-	-		Input-Authorise	1.5
STI	CNE100003053	92,200	CNY		4,065,977			RECE	DVP	900545	DTCCMEORXXX	0000000557582035	~	-	-	Reject by	CLogost	122
71	CNE100003059	29,627	CNY		4,065,977			RECE	DVP	900545	DTCCMEORXXXX	6855324624129627	-	-	-		Oragous	<u>عد ا</u>
11	CNE100003059	29,627	CNY		4,085,977	07		RECE	DVP	900545	DTCCMEORXXX	6855324624129628	-	-	-		DETAIL	
1	CNE100003059	92,000	HKD		5,892.16			RECE	DVP	902188	DTCCMEORXXXX	5000916261292188	-	-	-		DETAIL	15.2
8	CNE1000030.59	92,000	HKD		5,892.16			RECE	DVP	922188	DTCCMEORXXX	5000916261222188	-	-	-		DETAIL	LS >
H.	CNE100003059	92,000	CNY		4,065,977.			RECE	DVP	902188	DTCCMEORXXX	5000916261232188	-	-	-		DETAIL	LS >
1	CNE100003059	29,626	CNY		4,005,977.			RECE	DVP	900545	DTCCMEORXXXX	6855324624129626	-	~	~		DETAIL	LS >
31	CNE1000030.59	2,862	CNY		4,005,977.	07		RECE	DVP	900951	SYNCOMP173X	6855324604252833	~	×	~	Cancelled	DETAIL	LS >
SI	CNE100003059	2,775	CNY		4,065,977.	07		RECE	DVP	903008	DTCCMEORXXX	6855324604183088	~	~	~	Setted	DETAIL	45.5

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

## 7.1.2.2 Exchange Participant Middle Outsourcing Operator (EPOO)



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

HKEX The Power of C		2													April 2023 (	) symuai263 symuai263	ĵ
	Dashboard		Settlement In	structions				Accounts	R	elationships	Mark	et Data			1	Re ACTING AS:	
ettlement In:	tructions															Clearing Participant	
ETTLEME		CTIONS	6	0	0	0	0									Role Type Input-Authorise	e Reg
			-	ng Unmatche	-		-	d								Function 2 : Data Manager     Role Type: Input-Authorise	
NS TYPE - T	ISIN 4 T	QUANTITY * *	SETTLEMENT CURRENCY * *	SETTLEM	INT AMOUN	T + T	TYPE	PAYMENT MODE * *	EP'S ACCOUNT AT CP * *	CP'S ACCOUNT AT CCASS ***	LC CCASS ID **	TRADE ID * *	CP * T	GC * T	LC+T :	TA A Function 3 : SYN User	
m	CNE1000030/59	22,312	CNY	4,065,977.0			RECE	DVP	900546	11	801110	6655324624102231	-	-	-		LS >
1	CNE100003059	2,231	CNY	4,065,977.0	37		RECE	DVP	900546	11	C00016	6855324624182231	-	-	-	Role Type: Input-Authorise	LS >
sn	CNE100003059	92,200	CNV	4,065,977.0	97		RECE	DVP	900546	11	801110	000000357582035	1	-		6/0	1.5.5
	CNE100003059	29,627	CNY	4,065,977.0	07		RECE	DVP	900546	11	B01110	6855324624129627	-	-	-	ULogout	4.5
n																	
m m	CNE100003059	29,627	CNV	4,065,977.0	37		RECE	DVP	900546	11	E01110	6855324624129628	-	-	-	DETA	ALS >

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

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

# Account Operator (AO)

HKEX The Power of C	Synaps Connectivity.	e												2 April 2023 🗢 Acting /	As: SynCi	amp651		nual351 synual351 In Organization: SvirComo131	í X
	Dashboard			Settlement Inst	tructions			A	ccounts		Relationshi	ps	Market Data					ACTING A S	
Settlement Ins	structions																_	B Identity: Account Operator	
SETTLEME		CTIONS		4	0	0	0	0										Function 1 : SYN User Role Type: Input Only	Repo
				-	ng Unmatcher	d Matched	-	-									1	Function 2 : Data Manager Role Type: Input Only	
	CP BIC <sup>6</sup> T	ISIN 4 T	QUANTITY 5 T	SETTLEMENT CL	URRENCY		MENT AM	OUNT 4 T	TYPE	PAYMENT MODE	* EP'S ACCOUNT AT CP * *	CP'S ACCOUNT AT CCASS		TRADE ID * *	CPAT	GC 4 T	LCAN	Function 3 :	
SI	SYNCOMP388X	CNE100003059	92,000	HKD		5,892.18			RECE	DVP	902188	1	C00016	5000916261292188	-	-	-	Transaction Balance	° iLs⇒
SI	SYNCOMP204X	CNE1000030.59	92,000	HKD		5,892.18	3		RECE	DVP	922188	5	C00016	5000916261222188	-	-	-	Role Type: Input-Only	ILS >
SI	SYNCOMP388X	CNE100003059	92,000	CNY		4,665,97	77.07		RECE	DVP	902188	1	C00016	5000916261232188	-	-	1.1		ILS >
SI	GOLDDDDEAXXX	CNE100003059	2,102	CNY		4,065,97	77.07		RECE	DVP	999991	11	C00016	000000036341150	-	-	-	OLogout	1.5 >
										Previous 4	> Next								

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

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

# 7.2 Settlement Instruction Details View

### **Key Settlement Instruction Details**

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

## 7.2.1 Buy Side

## 7.2.1.1 Asset Managers (AM)

HKEX Synapse The Power of Connectivity.					🗂 12 July 2024 🏵 synuat 1154 synuat 1154 🕤 💢
		IN REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKOHKH1XXX	Trade Date	2023-09
Local Code	93906	Quantity	200,000	Type	D
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	
		Settlement Currency	CNY	Deal Price Currency	c
		Settlement Amount	200,000.01	Deal Price	4
		Effective Settlement Date	2024-07-11	Currency To Buy	L. L
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	Faise		
FUND DETAILS		PARTICIPANT DETAILS			
ID .	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP1
Name	Fund Profile 202406		SynComp173		SynComp
Fund Account at GC		Investor ID	300013		80000
		GC BIC		Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 55
		GC Name		Counterparty - CP CCASS ID	C00
				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
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade: - RDP (Real time Deliver versus Payment) - DVP (Deliver versus Payment) - FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.

#### **Fund Details**

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

## **Participant Details**

Field	Description		
AM BIC	AM Business Identification Code		
AM Name	AM Name		
Investor ID	Investor ID for the Fund. The field Is a unique number assigned to each SPSA account by HKEX		
	Note: Synapse will populate the following fields based on the Investor ID: <ul> <li>SPSA Account #</li> <li>LC Name</li> <li>LC CCASS Participant ID</li> <li>LC LEI</li> <li>LC BIC</li> <li>LC DN</li> </ul> Investor ID is also known as "SPSA ID" in CCASS		
GC BIC	GC Business Identification Code		
GC Name	GC Name		
LC BIC	LC Business Identification Code		
LC Name	LC Name		

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

# 7.2.1.2 Global Custodian (GC)

HKEX Synapse The Power of Connectivity.					🗂 09 July 2024 🏵 synual2069 synual2069 🕤 💢
Back Settlement Instruction Details Trade ID: 61712	230310110020				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STAT	TUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XOX	Trade Date	2023-09-1
Local Code	93986	Quantity	200,000	Type	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	ci
		Settlement Amount	200,000.01	Deal Price	44
		Effective Settlement Date		Currency To Buy	U
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP11
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp1
Fund Account at GC	54202406	Investor ID	300013	SPSA	80000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C000
		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
Туре	Securities movement type. It could be either "Receive" or "Deliver"
Payment	Payment mode of the trade:
	- RDP (Real time Deliver versus Payment)
	- DVP (Deliver versus Payment)
	- FOP (Free of Payment)
Deal Price Currency	Deal price currency of the trade
Deal Price	Deal price amount of the trade
Currency to Buy	Currency to buy for the trade
Currency to Sell	Currency to sell for the trade
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be cancelled.

## **Fund Details**

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

## **Participant Details**

Field	Description		
AM BIC	AM Business Identification Code		
AM Name	AM Name		
Investor ID	Investor ID for the Fund. The field Is a unique number assigned to each SPSA account by HKEX		
	<ul> <li>Note: Synapse will populate the following fields based on the Investor ID:</li> <li>SPSA Account #</li> <li>LC Name</li> <li>LC CCASS Participant ID</li> <li>LC LEI</li> <li>LC BIC</li> <li>LC DN</li> </ul>		
	Investor ID is also known as "SPSA ID" in CCASS		
GC BIC	GC Business Identification Code		
GC Name	GC Name		
GC's Account at LC	GC Account No. at LC for the Fund of the trade		
LC BIC	LC Business Identification Code		
LC Name	LC Name		
SPSA	Special Segregated Account		
Counterparty – EP (BIC/Name/LEI)	Counterparty details (EP) including Business Identification Code, Name, and Legal Entity Identifier		

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

# 7.2.1.3 Local Custodian (LC)

HKEX Synapse The Power of Connectivity.					🗂 09 July 2024 @ synuat783 synuat783 🗸 💢
+ Back Settlement Instruction Details Trade ID: 6171	230310110020				Reject Approv
KEY SETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH13000	Trade Date	2023-09-1
Local Code	93966	Quantity	200,000	Type	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	D
		Settlement Currency	CNY	Deal Price Currency	ci
		Settlement Amount	200,000.01	Deal Price	44.
		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	SYNCOMP11
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp1
		Investor ID	300013	SPSA	800000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C000
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

#### **Financial Instrument Details**

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

#### **Settlement Details**

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

### **Trade Details**

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

#### **Fund Details**

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

### Participant Details

Field	Description			
AM BIC	AM Business Identification Code			
AM Name	AM Name			
Investor ID	Investor ID for the Fund. The field Is a unique number assigned to each SPSA account by HKEX			
	Note: Synapse will populate the following fields based on the Investor ID: SPSA Account # LC Name LC CCASS Participant ID LC LEI LC BIC LC DN			
	Investor ID is also known as "SPSA ID" in CCASS			
GC BIC	GC Business Identification Code			
GC Name	GC Name			
GC's Account at LC	GC Account No. at LC for the Fund of the trade			
LC BIC	LC Business Identification Code			
LC Name	LC Name			
SPSA	Special Segregated Account			
Counterparty – EP	Counterparty details (EP) including Business Identification Code, Name, and			
(BIC/Name/LEI)	Legal Entity Identifier			
Counterparty – CP CCASS ID	Counterparty details (CP) CCASS Participant ID			
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)

eBack Settlement Ins	truction Details Trade ID: 0000000056341120				
KEY SETTLEMENT DE	ETAILS SETTLEMENT STATUS SI HE	ALTH CHECK TRANSACTION REF	ERENCES AND LIFECYCLE		
FINANCIAL INSTRUM	ENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-0
Local Code	93986	Quantity	92,200	Туре	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	Ch
		Settlement Amount	4,065,977.07	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	US
		Settled Amount	0.00	FX Cancellation	ERI
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAIL	_S				
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 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			
Туре	Securities movement type. It could be either "Receive" or "Deliver"			
Payment	Payment mode of the trade:			
	- RDP (Real time Deliver versus Payment)			
	- DVP (Deliver versus Payment)			
	- FOP (Free of Payment)			
Deal Price Currency	Deal price currency of the trade			
Deal Price	Deal price amount of the trade			
Currency to Buy	Currency to buy for the trade			
Currency to Sell	Currency to sell for the trade			
FX Cancellation	In case of a cancellation, specifies whether an associated FX should be			
	cancelled.			

#### **Participant Details**

Tarticipant 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)

CNE1000030S9 93986	ALTH CHECK TRANSACTION RE SETTLEMENT DETAILS Depository BIC Quantity	FERENCES AND LIFECYCLE	TRADE DETAILS	
CNE100003059 93986	Depository BIC	ХНКСНКН1ХХХ		
93986		XHKCHKH1XXX		
	Oursetite		Trade Date	2021-06-
	Quantity	92,200	Туре	DE
SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-04	Payment	D
	Settlement Currency	CNY	Deal Price Currency	CI
	Settlement Amount	4,065,977.07	Deal Price	44.
	Effective Settlement Date		Currency To Buy	
	Settled Currency		Currency To Sell	U
	Settled Amount	0.00	FX Cancellation	ER
	Real-Time Settlement Indicator	False		
DTCCSELLXXX				
SynComp531				
900546				
DTCCDEAGXXX				
	SynComp531 900546	Settlement Amount Effective Settlement Date Settled Currency Settled Amount Real-Time Settlement Indicator DTCCSELLXXX SynComp31 900546 DTCCDEAGXXX	Settlement Amount 4.065,977.07 Effective Settlement Date Settled Currency Settled Amount 0.00 Real-Time Settlement Indicator False DTCCSELLOXX SymCemp31 900540 DTCCCDELASXXX	Settlement Amount 4,065,977 07 Deal Price Effective Settlement Date Currency To Sett Settled Currency To Sett Settled Amount 0,000 FX Cancellation Real-Time Settlement Indicator False OTCCSELLOXX SynComs31 900546 DTCCDEAGXXX

#### **Financial Instrument Details**

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

### **Settlement Details**

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

## Trade Details

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

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

## **Participant Details**

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

# 7.3 SI/STI Approvals and Rejections

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

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

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

### 7.3.1 Buy Side



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

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

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

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

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

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

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

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

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

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

Buy Side instructing Receipt / Sell Side instructing Delivery						
	Broker's CCASS-ir	ntermediary's	Broker's CCASS-intermediary's			
	CCASS ID starting with - B		CCASS ID starting with - C			
	Population of Population of Population of Population					
	Client account Processing Client account Processing					
	number	reference	number	reference		
Investment Manager's CCASS-intermediary's CCASS ID starting with - C						
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-ir CCASS ID starting Population of	•	Broker's CCASS- CCASS ID startin Population of	
	Client account number	Processing reference	Client account number	Processing reference
Investment Manager's CCASS-intermediary's CCASS ID starting with - C	GC's account at LC	"" + SYN-EP's account at CP	EP's account at CP	"" + SYN-GC's account at LC
Missing/Empty va	lue found			
Display Result in CCASS C3T	N/A, as the value is sourced from Synapse Fund Profile	SYN-	<empty></empty>	N/A, as the value is sourced from Synapse Fund Profile.

## 7.3.1.3 Asset Managers (AM)

AMs have view only rights to SI/STI processing.

HKEX Synapse The Power of Connectivity.					🗄 12 July 2024 @ synuat1154 synuat1154 ~ 🔀
Back Settlement Instruction Details Trade ID: 61712303     KEY SETTLEMENT DETAILS SETTLEMENT STATUS		IN REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	STREALTH CHECK TRANSACTIO	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1XXX	Trade Date	2023-09-01
Local Code	93956	Quantity	200,000	Type	DEL
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	DW
		Settlement Currency		Deal Price Currency	CNO
		Settlement Amount	200,000.01	Deal Price	44.0
		Effective Settlement Date	2024-07-11	Currency To Buy	USI
		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	SYNCOMP112
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp11:
Fund Account at GC	54202406	Investor ID	300013	SPSA	8000001
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane,NY, NY 55555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C00019

## 7.3.1.4 Global Custodian (GC)

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



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

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

HKEX S	Synapse													6 11 4	nil 2023 🕀 synus	1071 synua1071 👻 💢
	Dashboard		Settlement	nstructions			n N	unds		Relationships		Market Data			Report	
Settlement Inst	tructions															
SETTLEME	NTINSTRUCTI	ONS	5	5	0	1	0								م	Search Generate Report
			Proces	sing Unmatc	hed Match	d Settler	d Cancelled									2021-06-05 1
INS TYPE 1 -	ISIN 4 T	QUANTITY .	SETTLEMENT CURRE	NCY 4 T	SETTL	EMENT AM	OUNT 6 T	TYPE	PAYMENT MODE * *	FUND ACCOUNT AT GC * *	EP EIC * T	TRADE ID * *	GC + T	LCOT	CP ** STATU	
iti -	CNE100003039	22,312	ONY		4,065,1	77.07		DELI	DVP	542231	DTOCSELLXXX	2231094155771021	-	-	-	DETAILS >
a l	CNE100003059	2,231	CNY		4,065,1			DEU	DVP	542231	DTCCSELLXXX	2231994155771021	-	-	-	DETAILS >
51	CNE1000030.59	29,625	CNY		4,065,1	77.07		DELI	DVP	542231		2119994155771021	-	-	-	DETAILS >
TI	CNE100003059	29,627	CNY		4,065,1			DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	DETAILS >
ETI	CNE1000030 S9	29,627	CNY		4,065,5			DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-	DETAILS >
1	CNE100003059	29,622	CNY		4,005,5	77.07		DELI	DVP	542231		2119394155771021	~	~	- Unmate	hed DETAILS >
	CNE1000030 59	29,621	CNY		4,065,5			DELI	DVP	542231		2119994155771021	1	1	- Unmate	hed DETAILS >
		29,624	CNY		4,065,5			DELI	DVP	542231		2119394155771021	~	~	- Unmat	
a	CNE100003859							DELL	DVP	542231		2119394155771021			- Unmate	hed DETAILS >
54	CNE100003053	29,623	CNV		4,065,1											
51 51 51 51		29,623 29,626 2,775	CNV CNV CNV		4,065,1	77.07		DEU DEU	DVP	542231 542231 543008	DTGCSELLXXX	2962994155771021 3000994155771021	2	2	- Unmate	

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

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



Approval by GC Transaction Balance Input Authorise User:

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

HKEX The Power of Co	Synapse														April 2023	l @ symuat073 s	ymuat073 👻 🕽	¢
	Dashboard		Settlement In	structions			F	unds		Relationships		Market Data				Reports		
Settlement Insi	tructions																	
SETTLEME	NT INSTRUCTI	ONS	5	5	0	1	0									Q, Searc	Generate Re	eport
			Processi	ng Unmatch	ed Matche	d Settler	d Cancelled											
																2021-0	5-05	
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STI				CY≜∓		77.07	IOUNT ^ 7						GC * T	LC**	CP * T			
STI SI	CNE100003059	22,312	CNY	CY A T	4,065,9	77.07 77.07	ROUNT 4 7	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	GC * *	-	-		DETAILS	
STI SI SI	CNE100003059 CNE100003059	22,312 2,231 29,625 29,627	CNY CNY CNY CNY	CY A T	4,065,9 4,065,9 4,065,9 4,065,9	77.07 77.07 77.07 77.07	IOUNT 4 7	DEU DEU DEU DEU	DVP DVP DVP DVP	542231 542231 542231 542231 542231	DTCCSELLXXX	2231094155771021 2231994155771021		LC * * - - -			DETAILS >	
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511 51 51 511 511	CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059	22,312 2,231 29,625 29,627 29,627 29,627 29,622	CNY CNY CNY CNY CNY CNY	CY≜ T	4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9	17.07 17.07 17.07 17.07 17.07 17.07 17.07	IOUNT A T	DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231	DTCCSELLOOK DTCCSELLOOK DTCCSELLOOK	2231094155771021 2231994155771021 2119994155771021 2962094155771021 2962094155771021 2119994155771021	-	-	-		DETAILS > DETAILS > DETAILS > DETAILS >	
511 53 51 511 511 511 53 53	CNE10003058 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059 CNE10003059	22,312 2,231 29,625 29,627 29,627 29,622 29,621	CNY CNY CNY CNY CNY CNY CNY	CY≜⊤	4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9 4,065,9	77.07 77.07 77.07 77.07 77.07 77.07 77.07	ICUNT A T	DELI DELI DELI DELI DELI DELI DELI DELI	DVP DVP DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231	DTCCSELLOOK DTCCSELLOOK DTCCSELLOOK	2231094155771021 2231994155771021 2119994155771021 2952094155771021 2952094155771021 2119994155771021 2119094155771021	-	-	-	STATUS * *	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >	
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The GC Transaction Balance Input Authorise User clicks "Details" to view the details of the settlement instruction and then clicks "Approve".

Key STILLMENT DETAILS       SILLUL NU CHECK       TANASACTION REFERENCES AND LIFECTOLE         FINALCAL INSTRUMENT DETAILS       STILLENT DETAILS       FINAL DETAILS       FINAL DETAILS         SIR       COREINSTRUMENT DETAILS       Setting Strument DETAILS       FINAL DETAILS       FINAL DETAILS         SIR       COREINSTRUMENT DETAILS       Setting Strument DETAILS       FINAL DETAILS       FIN	+ Back Settlement Instruction Details Trade ID: 6	171230310110020				Reject Appr
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mine de de construit de la co	SIN	CNE100003059	Depository BIC	3HKCHRH1303	Trade Date	2023-0
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CK MAGEN     CC MAGENERS     CC MAGE	nd Account at GC	54202406	Investor ID	300013	SPSA	800
CC MARGENE APPROVED - CC MARGENE APPROVED - Maranen: CC MARGENE APPROVED - CC MARGENE A			GC BIC	SYNCOMP356K	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY
			GC Name	SynComp356	Counterparty - CP CCASS ID	c
HI HARF 202 @ gnuel073 gnuel07			GC's Account at LC	76202406	CP's Account at CCASS	
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Presson;	The Power of Connectinity.  Seck: Settlement Instruction Details Trade ID: 2 Y SETTLEMENT DETAILS SETTLEMENT SI STATUS	SI HEALTH CHECK TRANSACTION		CP APPROVID -	CCASS STATUS:	Reject App
	The Power of Connectivity  The Power of Connectivity  Settlement Instruction Details Trade ID: 2  SetTLEMENT DETAILS  SI STATUS  GC MARKE: - APPROVED	STATUS SI HEALTH CHECK TRANSACTIC	LC APPROVED: -			Repect Appr

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

The Power of Co	Synapse						Can							8 11/	April 2023	(i) synuat073 sy	nuat073 ~ 🕽
	Dashboard		Settlement Ins	structions			Funds			Relationships		Market Data				Reports	
Settlement Inst	ructions																
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			Processi	ng Unmatch	ed Matched	1 Settled Ca	ncelled									2021-06	-05
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m	CNE100003059	22.312	CNY		4.065.97			DELI D	VP								DETAILS >
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	CNE100003039 CNE100003039	29,625	CNV CNV		4,065,97	7.07 7.07	D	DELI D	VP VP			2231994155771021 2119994155771021		-			
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n Ti	CNE1001030.59	29,625	CNV CNV		4,065,97	7.07 7.07 7.07	0 0	DELL D DELL D DELL D	VP VP	542231 542231	DTOCSELLXXX	2231994155771021 2119994155771021	-	-	2		DETAILS >
н П П	CNE1000030.59 CNE1000030.59	29,625 29,627	CNV CNV CNV		4,065,97 4,065,97 4,085,97	7 07 7 07 7 07 7 07 7 07	0 0 0	d USEU D DEU D DEU D DEU D	VP VP	542231 542231 542231	DTGCSELLXXX	2231994155771021 2119904155771021 2962094155771021	-	-	2	Unmatched	DETAILS > DETAILS > DETAILS >
ו ח ח	CNE100103059 CNE100103059 CNE100103059	29,625 29,627 29,627 29,622 29,622 29,621	CNV CNV CNV CNV CNV CNV		4,065,97 4,065,97 4,065,97 4,065,97 4,065,97 4,065,97	7.07 7.07 7.07 7.07 7.07 7.07		00000000000000000000000000000000000000	VP VP VP	542231 542231 542231 542231 542231 542231 542231	DTGCSELLXXX	223 1994 15577 1021 2119994 15577 1021 2962094 15577 1021 2962094 15577 1021 2119994 15577 1021 2119994 15577 1021	-	-	-	Unmatched Unmatched	DETAILS > DETAILS > DETAILS > DETAILS >
і П П І	CNE100103059 CNE100103059 CNE100103059 CNE100103059	29,625 29,627 29,627 29,622	CNV CNV CNV CNV CNV		4,065,97 4,065,97 4,065,97 4,065,97 4,065,97	7.07 7.07 7.07 7.07 7.07 7.07		00000000000000000000000000000000000000	VP VP VP VP	542231 542231 542231 542231 542231 542231	DTGCSELLXXX	223 1994 15577 1021 2119994 15577 1021 2962094 15577 1021 2962094 15577 1021 2962094 15577 1021	-	-	-		DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >
भ त्म म भ भ भ	CNE100103039 CNE100103039 CNE100103039 CNE100103039 CNE100103039 CNE100103039	29,625 29,627 29,627 29,622 29,621 29,624 29,623	CNY CNY CNY CNY CNY CNY CNY CNY		4,065.97 4,065.97 4,065.97 4,065.97 4,065.97 4,065.97 4,065.97 4,065.97	7.07 7.07 7.07 7.07 7.07 7.07 7.07 7.07		2000 00 00 00 00 00 00 00 00 00 00 00 00	Ab Ab Ab Ab Ab Ab	542211 542231 542231 542231 542231 542231 542231 542231 542231	DTGCSELLXXX	223 1994 15577 1021 2119994 15577 1021 2962094 15577 1021 2962094 15577 1021 2119994 15577 1021 2119994 15577 1021		-	-	Unmatched	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >
51 51 571 571 51 51 51 51 51 51	CNE160103039 CNE160103039 CNE160103039 CNE160103039 CNE160103039 CNE160103039 CNE160103039	29,625 29,627 29,627 29,622 29,622 29,621 29,624	CNY CNY CNY CNY CNY CNY CNY		4,065,97 4,065,97 4,065,97 4,065,97 4,065,97 4,065,97 4,065,97	7.07 7.07 7.07 7.07 7.07 7.07 7.07 7.07		2000 00 00 00 00 00 00 00 00 00 00 00 00	VP VP VP	542211 542231 542231 542231 542231 542231 542231 542231	DTGCSELLXXX	223 1004 15577 1021 2119904 15577 1021 2062004 15577 1021 2062004 15577 1021 2119994 15577 1021 2119994 15577 1021 2119994 15577 1021		-	-	Unmatched Unmatched	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >

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.



KEX Synapse Power of Connectivity.					
Settlement Instruction Details Trade ID:	2119994155771021				Paleet Ann
					10100 P.11
	STATUS SI HEALTH CHECK TRANSA	CTION REFERENCES AND LIFECYCLE			
NCIAL INSTRUMENT DETAILS	Account Servicer Deadline Missed (ADEA) Cash Account (CASH)				
	Common Reference Rejection (IIND)				2021
Code	Corporate Action Rejection [CAEV]				2027
	Deal Price (DDEA)				
	Impossible Cash Settlement System [GASY]				
	Impossible To Use The RTGS System Instructed [	RTG5]			
	Invalid Balance (INVB)				
	Invalid Investor Party [INVE]				
	Invalid Link [INVL]				
DETAILS	Invalid Lot Number [INVN]				
	Invalid Rule (VALR)				
	Invalid Security [DSEC] Lack Of Stamp Duty [SDUT]				UNPERL
coount at GC	Market Deadline Missed [LATE]				SynCo
	Minimum Settlement Quantity (MINO)				00
	Multiple Settlement Quantity (MUNO)				
	Other (OTHR)				
	Physical Sottlement Impossible [PHVS]				
	Place Of Listing (PLIS)				
	Place Of Safekeeping [INP5]				
	Place Of Trade (PLCE)				
	Processing Eatch Rejection [EATC]				
	Quantity Rejection [DQUA]				
	Receiving Delivering Depository (DEPT) Receiving Delivering Party 1 (ICAG)				
	Receiving Delivering Party 1 (ICAG) Receiving Delivering Party 2 (ICUS)				
	Receiving Delivering Party 3 (EXE)				
	Reference Rejection [REFE]				
	Safekeeping Account Rejection (SAFE)				
	Settlement Amount Currency Rejection (NCRIR)				
	Settlement Amount Rejection [DMON]				
	Settlement Date Rejection (DDAT)				
	Settlement System Method Rejection [SETS]				
	Settlement Transaction Rejection (SETR)				
	Tax Status Rejection (TXST) Trade Date (DTRD)				
KEX Synapse					
Power of Connectivity.					🖽 11 April 2023 🛞 synual071 synual071 -
Settlement Instruction Details Trade II SETTLEMENT DETAILS SETTLEME	D: 2119994155771021 Ent status si health check trans	ACTION REFERENCES AND LIFECYCLE			Reject
ssfully Rejected					
SI STATUS					
GC MAKER: X REJECTED	GC CHECKER: -	LC APPROVED: -	CP APPROVED: -	1	CANCELLATION STATUS:
GC MAREN: A REJECTED				CCASS STATUS:	
	Reason:	Reason:	Reason:	Reason:	Reason:
Reason:					
Reason: Invalid Rale [VALR]	NA	NA	NA.	NA	NA

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

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

The Power of C	Synapse meclivity.	_		Instructions						Relationshies		o Market Data		C 11 A		synuat073 synx eports	uat073 - 🔰
Sottlement Inst			Settlemen	Instructions				unds		Relationships		Market Data			ĸ	eports	
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																2021-06-0	6
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STI SI	CNE100003059 CNE100003059	22,312 29.625	CNY		4,065,5			DELI	DVP DVP	542231 542231	DTCCSELLXXX	2231094155771021 2119994155771021			2		DETAILS >
TI	CNE100003059	29.627	CNY		4,065.5			DELI	DVP	542231	DTCCSELLXXX	2952094155771021					DETAILS >
171	CNE100003059	29.627	GNY		4.065.5			DELI	DVP	542231	DTCCSELLXXX	2952994155771021	-	-	-		DETAILS >
51	CNE100003059	29.622	CNY		4.065.5			DELI	DVP	542231		2119994155771021	1	~			DETAILS >
51	CNE100003059	29,621	CNY		4,065,5	77.07		DEU	DVP	542231		2119394155771021	1	1	- 0		DETAILS >
1	CNE100003059	29,624	CNY		4,065,0	77.07		DEU	DVP	542231		2119994155771021	1	1		Inmatched	
	CNE100003059	29,623	CNY		4,065,9	77.07		DEU	DVP	542231		2119994155771021	~	~	- 0	Irmatched	DETAILS
H .		29.626	ONY		4,065,9			DELI	DVP	542231	DTCCSELLXXX	2952994155771021	~	1			DETAILS >
	CNE100003059																
ड। ड। ड।	CNE100003059 CNE100003059 CNE100003059	2,775	CNY CNY		4,065.9			DEU	DVP	543008 542231	DTCCSELLXXX	3008994155771021 2231994155771021	~	~	× 8	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.					🗂 09 July 2024 🕲 synual2070 synual2070 👻 💢
Back Settlement Instruction Details Trade ID: 617123	0310110020				Reject Approv
KEY SETTLEMENT DETAILS SETTLEMENT STATU	S SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHRH1X0X	Trade Date	2023-09-0
Local Code	93986	Quantity	200,000	Type	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	D
		Settlement Currency	CNV	Deal Price Currency	a
		Settlement Amount	200,000.01	Deal Price	44
		Effective Settlement Date		Currency To Buy	U.
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
0	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP11
Name	Fund Profile 202406	AM Name	SymComp173	LC Name	SynComp1
Fund Account at GC	54202406	Investor ID	300013	SPSA	800005
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 555
		GC Name	SymComp356	Counterparty - CP CCASS ID	C001
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

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



k Settlement Instruction Details Tra-					Reject App
SETTLEMENT DETAILS SETTLE	EMENT STATUS SI HEALTH CHECK TRANS	SACTION REFERENCES AND LIFECYCLE			
NCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
i Code	REJECTION CODE:				20214
•	Please select the code corresponding to you invalid Rule (VALR)	ur reason for rejection of this Settlement Instruction:			
				Cancel	Submit
DETAILS					
					JMPPMJ SymCo
Account at GC					00
				() () () () () () () () () () () () () (	
IKEX Synapse					🗂 11 April 2023 (i) synuat073 synuat073 -
e Power of Connectivity.					C Trajni 2023 (# Synual / 5 Synual / 5
Settlement Instruction Details Tra	ide ID: 2119994155771021				Reject Ap
SETTLEMENT DETAILS SETT	LEMENT STATUS SI HEALTH CHECK TRAN	SACTION REFERENCES AND LIFECYCLE			
cessfully Rejected					
SI STATUS	GC CHECKER: X REJECTED	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	GC CHECKER: X REJECTED	-	Reason:		
SI STATUS	GC CHECKER: × HEJECTED	Reason:	Popearer.	Reason:	Resson:
SI STATUS GC MAKER: × REJECTED		NA	NA	Reason: NA	NA

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

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Settlement Inst	tructions																	
SETTLEMEN		ONS		5	5	0	1	0									Q Search	Generate Repor
				Processi	ng Unmatch	ned Matche	ed Settle	d Cancel	led								2021-06	os c
NS TYPE * *	ISIN 4 7	QUANTITY **	SETTLEMENT	CURREN	Y - Y	SETTL		OUNTAT	TYPE**	PAYMENT MOD	E *** FUND ACCOUNT AT GC **	EP BIC * *	TRADE ID **	GC * *	LC * *	CP 1 T	STATUS * *	
n	CNE100003059	22,312	ONY			4,065,9			DEU	DVP	542231	DTCCSELLXXX	2231094155771021	-	-	-		DETAILS >
1	CNE100003059	29,625	CNY			4,065,9			DEU	DVP	542231		2119994155771021	×	-	-		DETAILS >
i Ti	CNE10003039	29,627	CNY			4,065,9			DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
n	CNE10003039	29,627	CNY			4,065,9			DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
8	CNE100003059	29,622	CNY			4,065,5			DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
	CNE1000030.59	29,621	CNY			4,065,9			DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	29,624	CNY			4,065,5			DELI	OVP	542231		2119994155771021	~	1	-	Unmatched	DETAILS
	CNE100003059	29,623	CNY			4,005,5			DELI	OVP	542231		2119994155771021	1	~	-	Unmatched	DETAILS
1	CNE100003059 CNE100003059	29,626	CNY			4,065,5			DELI	DVP	542231 543005	DTCCSELLXXX	2962994155771021 3008094155771021	1	1	-	Unmatched Settled	DETAILS
1	CNE100003039 CNE100003059	2,775	CNY			4,065,5			DEU	DVP	543005	DTCCSELLXXX	2231994155771021		~	~	241100	DETAILS >
	0.0000000000000000000000000000000000000	6,631	UR1			4,065,1	11.00		DED	DVP		DICOSELLOOA	223 1009 1557 / 1021	~				DETAILS

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

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



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

HKEX Synapse The Power of Connectivity.					🗮 11 April 2023 🛞 synuat073 synuat073 🗸
Back Settlement Instruction Details Trade ID: 2	962094155771021				Reject A
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACT	TION REFERENCES AND LIFECYCLE			
Rejected to Maker					
SI STATUS					
GC MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

 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 The Power of C	Synapse											o		E 11	April 2023	l synuat073 s	ynuat073 - 🗙
	Dashboard		Settleme	nt Instruction	3			Funds		Relationships		Market Data				Reports	
Settlement Ins	tructions																
SETTLEME	NT INSTRUCTION	ONS	5	5	0	1	0									Q Search	Generate Repor
			Pro	cessing Unma	itched Match	ed Settle	d Cancell	ed								2021-0	6-05 Č
INS TYPE 4 7	ISIN 6 T	QUANTITY * *	SETTLEMENT CUR	RENCY	SETTL	EMENT AM		TYPE * *	PAYMENT MODE ***	FUND ACCOUNT AT GC **	EP BIC 4 T	TRADE ID * *	GC * *	LCAT	CP * *	STATUS	
an i	CNE100003059	22,312	CNY		4,085,1	77.07		DEU	DVP	542231	DTOCSELLXXX	2231094155771021		-	-		DCTAILS >
n	CNE100003059	29,627	CNY		4,065,1	77.07		DEU	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		OCTAILS >
m	CNE100003059	28,627	CNY		4,065,1	77.07		DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
	CNE100003059	29,622	CNY		4,065,1	77.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
1	CNE100003059	29,621	CNY		4,055,	177.07		DELI	OVP	542231		2119994155771021	× .	1	-	Unmatched	DETAILS >
54	CNE100003059	29,624	CNY		4,065,5	77.07		DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	29,623	CNY		4,065,1	77.07		DEU	OVP	542231		2119994155771021	~	1	-	Unmatched	DETAILS >
1	CNE100003059	29,626	CNY		4,085,9			DEU	DVP	542231	DTCCSELLXXX	2962994155771021	~	1	-	Unmatched	DETAILS >
91	CNE100003059	2,775	CNY		4,085,9			DELI	DVP	543018	DTCCSELLXXX	3008994155771021	~	~	~	Settled	DCTAILS >
SI	CNE100003059	2,231	CNY		4,005,1			DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	-	-		DETAILS >
si	CNE100003059	29,625	CNY		4,065,1	77.07		DELI	CVP	542231		2119994155771021	×	-	-		DETAILS >

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

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

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

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

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

The Power of C	Synapse						Callann						0 11	April 2023	i @ synuat073 sy	muat073 - 💙
	Dashboard		Settlement	Instructions			Funds		Relationships		Market Data				Reports	
ettlement Ins	tructions															
ETTLEME	NTINSTRUCTI	ONS	5 Proces	5 sing Unmatch	0 ed Matched	1 0 Settled Cance	Hed								Q. Search 2821-08	Generate Rep
NS TYPE ^ *	ISIN * *	QUANTITY	SETTLEMENT CURRE	NCYAT	SETTLE	MENT AMOUNT * *	TYPE	PAYMENT MODE **	FUND ACCOUNT AT GC 17	EP BIC * T	TRADE ID ^ *	GC ^ T	LCAT	CP 4 T		~~
STI	CNE1000030.59	22,312	CNY		4,085,97	7.07	DEU	DVP	542231	DTCCSELLXXX	2231004155771021	-	-	-		DETAILS >
TI	CNE1000030.89	29,827	CNY		4,065,97	7.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS >
	CNE1000030.59 CNE1000030.59	29,627	CNY		4,085,97	7.07	DEU	DVP	542231	DTCCSELLXXX DTCCSELLXXX	2962094155771021 2962094155771021	-	-	-		DETAILS >
m I	CNE1000030 S9 CNE1000030 S9	29,627 29,622	CNY CNY		4,085.97	7.07	DEU DEU	DVP DVP	542231 542231		2962094155771021 2119994155771021		ļ		Unmatched	
stn Bl	CNE1000030.58 CNE1000030.58 CNE1000030.58	29,627 29,622 29,621	CNY CNY CNY		4,085.97 4,085.97 4,085.97	7.07 7.07 7.07	DEU DEU DEU	DVP DVP DVP	542231 542231 542231		2962094155771021 2119994155771021 2119994155771021	-		-	Unmatched Unmatched	DETAILS >
ті а а а	CNE100003039 CNE100003039 CNE100003039 CNE100003039	29,827 29,822 29,821 29,824	CNY CNY CNY CNY		4,085.97 4,085.97 4,085.97 4,085.97	7.07 7.07 7.07 7.07	DEU DEU DEU DEU	DVP DVP DVP	542231 542231 542231 542231		2962094155771021 2119994155771021 2119994155771021 2119994155771021			2	Unmatched Unmatched	DETAILS >
571 571 91 93 93 93	CNE1000130 S9 CNE1000130 S9 CNE1000130 S9 CNE1000130 S9 CNE1000130 S9	29,827 29,822 29,821 29,824 29,824 29,823	CNY CNY CNY CNY CNY		4,085,97 4,085,97 4,085,97 4,085,97 4,085,97	7.07 7.07 7.07 7.07 7.07	DEU DEU DEU DEU DEU	DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021	- > > > >	1 1 2 2 2 3	-	Unmatched Unmatched Unmatched	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >
71 1 1 1 1 1 1 1	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29,627 29,622 29,621 29,624 29,625 29,625	CNY CNY CNY CNY CNY CNY		4,085,97 4,085,97 4,085,97 4,085,97 4,085,97 4,085,97	7.07 7.07 7.07 7.07 7.07 7.07	DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231	DTCCSELLXX	2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2962994155771021			-	Unmatched Unmatched Unmatched Unmatched	DETAILS > DETAILS > DETAILS > DETAILS >
71 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	CNE10003058 CNE10003058 CNE10003058 CNE10003058 CNE10003058 CNE10003058 CNE10003058	29,827 29,822 29,821 29,824 29,823 29,825 2,775	CNY CNY CNY CNY CNY CNY CNY		4,085,97 4,085,97 4,085,97 4,085,97 4,085,97 4,085,97 4,085,97	7.07 7.07 7.07 7.07 7.07 7.07 7.07	DEU DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231 542231 542006	DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX	2962064155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2902994155771021 3000994155771021				Unmatched Unmatched Unmatched	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >
71 1 1 1 1 1 1 1	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29,627 29,622 29,621 29,624 29,625 29,625	CNY CNY CNY CNY CNY CNY		4,085,97 4,085,97 4,085,97 4,085,97 4,085,97 4,085,97	7 07 7 07 7 07 7 07 7 07 7 07 7 07 7 07	DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231	DTCCSELLXX	2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2962994155771021	- > > > >	1 1 2 2 2 2 2 1	-	Unmatched Unmatched Unmatched Unmatched	DETAILS > DETAILS > DETAILS > DETAILS > DETAILS > DETAILS >

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



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

X Synapse of Connectivity:		SHAAAA SAAAAAAAAAAAAAAAAAAAAAAAAAAAAAAA			🗂 11 April 2023 🏵 synuat073 synuat07
tement Instruction Details Trade ID: 3	2231094155771021				Rejec
EMENT DETAILS SETTLEMEN	STATUS SI HEALTH CHECK TRANSAC	TION REFERENCES AND LIFECYCLE			
laker					
TATUS					
MAKER: PENDING AMENDMENT	GC CHECKER: REJECTED TO MAKER	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
ion:	Reason:	Reason:	Reason:	Reason:	Reason:
	NA	NA	NA	NA	NA

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

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

The Power of C		_													<li>a synuat073 sy</li>	
	Dashboard		Settlement I	Instructions			Funds		Relationships		Market Data				Reports	
ettlement Ins	tructions															
ETTLEME	NTINSTRUCT	ONS	5	5	•	10									Q Search	Generate
			Proces	sing Unmatche	d Matched	Settled Cancelle	d								2021-05	-05
NS TYPE ^ T	ISIN * *	QUANTITY & *	SETTLEMENT CURRE	NCYAT		NT AMOUNT 1 7	TYPE	PAYMENT MODE	FUND ACCOUNT AT GC **	EP BIC **	TRADE ID **	GC ^ T	LCAT	CP * T	STATUS * *	
		22.312	CNY				DELL	DVP	542231	DTCCSELLXXX	2231004155771021					DETAILS
n	CNE1000030.59				4,085,977.0							-	-	-		
	CNE1000030.59	29,827	CNY		4,065,977.0	7	DEU	DVP	542231	DTCCSELLXXX	2962004155771021	-	-	-		DETAIL
	CNE1000030.59 CNE1000030.59	29,627 29,627	CNY CNY		4,065,977.0	7	DEU DEU	DVP DVP	542231 542231		2962004155771021 2962094155771021		-	-		DETAIL
	CNE1000030.58 CNE1000030.58 CNE1000030.58	29,827 29,827 29,822	CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0	7 7	DEU DEU DEU	DVP DVP	542231 542231 542231	DTCCSELLXXX	2962004155771021 2962004155771021 2119994155771021	-	Ţ	2	Unmatched	DETAIL
	CNE100003059 CNE100003059 CNE100003059 CNE100003059	29,827 29,827 29,822 29,821	CNY CNY CNY CNY		4,065,977.0 4,085,977.0 4,085,977.0 4,085,977.0	7 7 7 7	DEU DEU DEU DEU	DVP DVP DVP DVP	542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2962094155771021 2119994155771021 2119994155771021		- > >	-	Unmatched	DETAIL DETAIL DETAIL
	CNE1000130.59 CNE1000130.59 CNE1000130.59 CNE1000130.59 CNE1000130.59	29,827 29,827 29,822 29,821 29,824	CNY CNY CNY CNY CNY		4,085.977.0 4,085.977.0 4,085.977.0 4,085.977.0 4,085.977.0 4,085.977.0	7 7 7 7	DEU DEU DEU DEU DEU	0/P 0/P 0/P	542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021		Ţ	-	Unmatched Unmatched	DETAIL DETAIL DETAIL DETAIL
	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29.627 29.627 29.622 29.621 29.624 29.624 29.625	CNY CNY CNY CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0	7 7 7 7 7	DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021			-	Unmatched Unmatched Unmatched	DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL
	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29,627 29,627 29,622 29,621 29,624 29,623 29,625	CNY CNY CNY CNY CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0	7 7 7 7 7 7 7	DEU DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231 542231 542231	DTCOSELLXXX DTCOSELLXXX DTCOSELLXXX	2962004155771021 2962004155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021			-	Unmatched Unmatched Unmatched Unmatched	DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL
	CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058 CNE100003058	29.627 29.627 29.622 29.621 29.624 29.624 29.625	CNY CNY CNY CNY CNY CNY		4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0 4,085,977.0	7 7 7 7 7 7 7	DEU DEU DEU DEU DEU DEU	DVP DVP DVP DVP DVP	542231 542231 542231 542231 542231 542231	DTCCSELLXXX	2962094155771021 2962094155771021 2119994155771021 2119994155771021 2119994155771021 2119994155771021			-	Unmatched Unmatched Unmatched	DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL DETAIL

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

#### Background

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

#### **Workflow and Process**

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

#### Recommendation

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



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

HKEX Synapse The Power of Connectivity.					🖻 10 July 2024 🖲 synuat2069 synuat2069 🕤 🂢
		NSACTION REFERENCES AND LIFECYCLE			Reject Approve
FINANCIAL INSTRUMENT DETAILS	STATUS STREALTH CRECK TRP	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE00000040	Depository BIC	XHKCHKH1XXX	Trade Date	2023-09-0
Local Code	70001	Quantity	340,000	Туре	RECE
Name	PING AN BANK CO., LTD. (A #000001)	Settlement Date	2023-09-01	Payment	DVI
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	340,000.01	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	USL
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP112
Name	Fund Profile 202408	AM Name	SynComp173	LC Name	SynComp11:
Fund Account at GC	54202408	Investor ID	300013		800000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Seller, 300 Seller Lane, NY, NY 6666
		GC Name	SynComp356	Counterparty - CP CCASS ID	80113
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP			

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

HKEX Synapse The Power of Connectivity.	2150034			🗖 10 July 2024 🏵 synual2069 synual2069 - X
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	-	-	-	
A 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					🗂 10 July 2024 🕲 synual2069 synual2069 🕤 🗶
← Back Settlement Instruction Details Tra	de ID: 6171230902150034				Reject Approve
KEY SETTLEMENT DETAILS	EMENT STATUS SI HEALTH CHECK	TRANSACTION REFERENCES AND LI	FECYCLE		
SI STATUS					
GC MAKER:	GC MAKER: -   LC APPRO		CP APPROVED:	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA
		Alert Message			
		check finding.	SI HEALTH CHECK* There is a health stop the approval process, or Click firm the approval. Continue Abort		

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

HKEX Synapse The Power of Connectivity.		3 10 July 2024 🖲 synuat2069 synuat2069 🕤 🏌								
eBack Settlement Instruction Details Trade ID: 6171	+ Seck Settlement Instruction Details Trade ID: 617/230902150034									
KEY SETTLEMENT DETAILS SETTLEMENT ST	TATUS SI HEALTH CHECK TRANS	ACTION REFERENCES AND LIFECYCLE								
© Successfully Approved										
SI STATUS										
GC MAKER: V APPROVED	GC CHECKER: -	LC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:					
Reason: F	Reason:	Reason:	Reason:	Reason:	Reason:					
NA	NA	NA	NA	NA	NA					
5. The same approval process will be applied to the GC Transaction Balance Input Authorise User.

# 7.3.1.5 Local Custodian (LC)

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



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

- 1. The LC Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 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".

HH The F	EX Synaps	e						🖾 13 April	2023 🕃 sy	nuat141 synuat1	41 ~ 💢
	Dashboard	Settlement Inst	tructions	Funds		Relations	hips	Market Data		Reports	
Settle	nent Instructions										
	SETTLEMENT	5 Pr	O occessing Unmatche	<b>O</b> d Matched	<b>1</b> Settled	<b>O</b> Cancelled				Q Search Ge 2021-06-05	nerate Report
INS TYPE			A SETTLEMENT AMOUNT	A 🔻 TYPE A 🕈	MODE	T GC ACCOUNT A	CP CCASS	▲▼ SPSA ▲▼ TRADE ID ▲▼	GC A 🔻 LC A	▼ CP ^ ▼ STATUS	Δ 🔻
SI	CNE100003059 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	/ /	<ul> <li>Settled</li> </ul>	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	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942		-	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP Previou	123456789 is < > Next	B01110	80000001 0000000756190940	/ -	-	DETAILS >

HKEX Synapse The Power of Connectivity.					🖻 09 July 2024 🕲 synual783 synual783 🕤 💢
Back Settlement Instruction Details Trade ID: 617123     KEY SETTLEMENT DETAILS SETTLEMENT STATU		N REFERENCES AND LIFECYCLE			Reject Approv
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100013059	Depository BIC	XHKCHKH1X0X	Trade Date	2023-0
Local Code	93986	Quantity	200,000	Type	
lame	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	
		Settlement Currency	CNY	Deal Price Currency	
		Settlement Amount	200,000.01	Deal Price	4
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
D	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynCom
		Investor ID	300013	SPSA	8000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane,NY, NY S
		GC Name		Counterparty - CP CCASS ID	CO
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

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

	tails Trade ID: 00000075619	00040			
ETTLEMENT DETAILS			ACTION REFERENCES	AND LIFECYCLE	Reject A
SI STATUS					
LC MAKER: -	LC CHECKER: -	GC APPROVED: V APPROVED	CP APPROVED:	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA
KEX Synapse				🗖 13 Ap	ril 2023 🕘 synuat141 synuat141 🗸
Power of Connectivity.				🗖 13 Ap	ril 2023 🕃 synuat141 synuat141 🗸
<b>XEX Synapse</b> Power of Connectivity. Settlement Instruction D ETTLEMENT DETAILS	etails Trade ID: 00000007561		SACTION REFERENCES		ril 2023 🕃 synuat141 synuat141 🗸 <b>Reject</b>
Power of Connectivity. Settlement Instruction D ETTLEMENT DETAILS	etails Trade ID: 00000007561		BACTION REFERENCES		ril 2023 🕃 synuat141 synuat141 🗸
Power of Connectivity. Settlement Instruction D ETTLEMENT DETAILS	etails Trade ID: 00000007561		GACTION REFERENCES		ril 2023 🕃 synuat141 synuat141 🗸
Power of Connectivity. Settlement Instruction D ETTLEMENT DETAILS	etails Trade ID: 00000007561		SACTION REFERENCES		rð 2023 ③ synuat141 synuat141 ~ Paren P CANCELLATION STATUS:
Power of Connectivity. Settlement Instruction D ETTLEMENT DETAILS ssfully Approved SI STATUS	etails Trade ID: 000000075613 SETTLEMENT STATUS	SI HEALTH CHECK TRANS	1	AND LIFECYCLE	

# Approval by LC Transaction Balance Input Authorise User:

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

	EX Synapse							🖻 13 April 20	123 🖲 sy	muat143 synuat14	13 ~ 💢
	Dashboard	Settlement Inst	ructions	Funds	A	Relations	hips	Market Data		Reports	
ettleme	nt Instructions										
		5 Pro	<b>O</b> Docessing Unmatched	0 Matched	- C	0 Cancelled				Q Search Ger	erate Report
NS A TYPE		SETTLEMENT CURRENCY	A T SETTLEMENT	≜ Ŧ TYPE ≜ 3	PAYMENT	A T LC	CP CCASS	≜ ∓ SPSA ≜ ∓ TRADE ID ≜ ∓ GC	^ ∓ LC ^	Ŧ CP ≜ Ŧ STATUS	<b>∆</b> ∓
SI	CNE100003089 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269 🗸	~	<ul> <li>Settled</li> </ul>	DETAILS
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 000000756190943 -	-	-	DETAILS
51	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944 -	-	-	DETAILS
51	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941 -	-	-	DETAILS
51	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942 -	-	-	DETAILS
51	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP Previous	123456789 s < → Next	B01110	80000001 0000000756190940 🗸	•	-	DETAILS

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

IKEX Synapse Power of Connectivity.					🗄 10 July 2024 🎚 synuat782 synuat782 👻
ck Settlement Instruction Details Trade ID: 6171230	310110020				
SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE			
INCIAL INSTRUMENT DETAILS	5	ETTLEMENT DETAILS		TRADE DETAILS	
	CNE100003059	Dennaltory RIC	2000/00/01/2	X Trade Date	202
Il Code	93906			10 Type	
e	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-0	01 Payment	
		Settlement Currency		I/ Deal Price Currency	
		Settlement Amount		11 Deal Price	
		Effective Settlement Date Settled Currency		01 Currency To Buy IV Currency To Sell	
		Settled Amount		01 FX Cancellation	
		Real-Time Settlement Indicator	Fair		
D DETAILS	F	ARTICIPANT DETAILS			
	55202406	AM RIC	SYNCOMP173	X LCBC	SYNC
	Fund Profile 202406			73 LC Name	Syn
		Investor ID		13 SPSA	
		GC BIC	SYNCOMP356	X Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY,
		GC Name	SynComp31	56 Counterparty - CP CCASS ID	
		GC's Account at LC EP's Account at CP	7620240 1234561	16 CP's Account at CCASS	
ack Settlement Instruction Deta			ACTION REFERENCES AND	LIFECYCLE	Reject Approve
ack Settlement Instruction Deta			ACTION REFERENCES AND	LIFECYCLE	Reject Approve
SETTLEMENT DETAILS		HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	
ack Settlement Instruction Deta				LIFECYCLE CCASS STATUS:	Reject Approve
ack Settlement Instruction Deta	SETTLEMENT STATUS	HEALTH CHECK TRANS	CP APPROVED: -		
ACK Settlement Instruction Deta Y SETTLEMENT DETAILS SI STATUS LC MAKER:	LC CHECKER: -	HEALTH CHECK TRANS	CP APPROVED:	CCASS STATUS:	CANCELLATION STATUS:
ACK Settlement Instruction Deta Y SETTLEMENT DETAILS SI STATUS LC MAKER: ✓ APPROVED Reason:	SETTLEMENT STATUS SI	HEALTH CHECK TRANS	CP APPROVED:	CCASS STATUS: Reason:	CANCELLATION STATUS: Reason:
Settlement Instruction Deta SETTLEMENT DETAILS SI STATUS LC MAKER: ✓ APPROVED Resson: NA MA HKEX Synapse The Power of Connectivity.	SETTLEMENT STATUS SI	HEALTH CHECK TRANS	CP APPROVED:	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason:
SI STATUS SI STATUS LC MAKER: ~ APPROVED Reason: NA HKEEX Synapse The Power of Connectivity. Back Settlement Instruction Det	SETTLEMENT STATUS SI LC CHECKER: Reason: NA	HEALTH CHECK TRANS	CP APPROVED:	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
ARCK Settlement Instruction Deta Y SETTLEMENT DETAILS SI STATUS IC MAKER: ~ APPROVED Reason: NA HKEX Synapse The Power of Connectivity. Block Settlement Instruction Details	SETTLEMENT STATUS SI LC CHECKER: Reason: NA	HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
SI STATUS LC MAKER: ✓ APPROVED Reason:	SETTLEMENT STATUS SI LC CHECKER: Reason: NA	HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
Set Settlement Instruction Data SI STATUS LC MAKER: -/ APPROVED Reason: NA HKEX Synapse The Power of Connectivity. Back Settlement Instruction Deta EY SETTLEMENT DETAILS	SETTLEMENT STATUS SI LC CHECKER: Reason: NA	HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
ARCK Settlement Instruction Data Y SETTLEMENT DETAILS SI STATUS IC MAKER: ~ APPROVED Reason: NA HEKEX Synapse The Power of Connectivity Brock Settlement Instruction Details Successfully Approved SI STATUS	SETTLEMENT STATUS SI	I HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA 23 © synuat143 synuat143 ~ X Reject Approve
ack Settlement Instruction Deta y SETTLEMENT DETAILS SI STATUS LC MAKER: ~ APPROVED Reason: NA HKEEX Synapse The Power of Connectivity. Back Settlement Instruction Det SY SETTLEMENT DETAILS successfully Approved	SETTLEMENT STATUS SI LC CHECKER: Reason: NA	HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA
Set Settlement Instruction Data SI STATUS IC MAKER:	SETTLEMENT STATUS SI	I HEALTH CHECK TRANS	CP APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA 23 © synuat143 synuat143 ~ X Reject Approve

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

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



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

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

HKEX Synapse The Power of Connectivity.					🗂 09 July 2024 @ symual783 symual783 🕤 🗶
Back Settlement Instruction Details Trade ID: 6171	230310110020				Read Access
KEY SETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	XHKCHKH1000	Trade Date	2023-094
Local Code	93906	Quantity	200,000	Type	DE
lame	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2023-09-01	Payment	D
		Settlement Currency	CNV	Deal Price Currency	c
		Settlement Amount	200,000.01	Deal Price	44
		Effective Settlement Date	2023-09-01	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		Settled Amount	200,000.01	FX Cancellation	
		Real-Time Settlement Indicator	False		
UND DETAILS		PARTICIPANT DETAILS			
D	55202406	AM BIC	SYINCOMP173X	LC BIC	SYNCOMP11
Same .	Fund Profile 202406	AM Name	SynComp173	LC Name	SynComp1
		Investor ID	300013	SPSA	500500
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Buyer, 200 Buyer Lane, NY, NY 555
		GC Name	SynComp356	Counterparty - CP CCASS ID	C100
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP	12345678		

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

HKEX Synapse The Power of Connectivity.					3 🕃 synuat 141 synuat 141 🕤 🏋
<ul> <li>✓ Back Settlement Instruction Detail</li> </ul>	ils Trade ID: 00000007561909	941			Reject Approve
KEY SETTLEMENT DETAILS	REJECTION CODE:				
	Please select the code correspond	ding to your reason for rejection o	f this Settlement Instruction:		
ISIN				*	2021-06-05
Local Code Name GIGADEVICE				Cancel Submit	DELI
Name GIGADEVICE					CNY
					44.06
FUND DETAILS					
ID					JMPPMJ55XXX
Name					SynComp521 80000001
					EI)
		C Name C's Account at LC		Counterparty - CP CCASS ID CP's Account at CCASS	B01110
HKEX Synapse The Power of Connectivity.					j @synuat141 synuat141 ∨ 💢
HKEX Synapse The Power of Connactivity.	Is Trade ID: 0000007561905	41	2		i @synuati41 synuati41 ~ X
The Power of Connectivity.			ACTION REFERENCES AND	🗖 13 April 2023	1 @ synuat141 synuat141 ~ X
The Power of Connectivity.				🗖 13 April 2023	1 @ synuat141 synuat141 ~ X Reject Approve
The Power of Connectivity.				🗖 13 April 2023	9 @ synuat141 synuat141 ~ X
The Power of Connectivity.   Back Settlement Instruction Detail KEY SETTLEMENT DETAILS   Successfully Rejected				🗖 13 April 2023	© synuat141 synuat141 v X Mejesti Aparone CANCELLATION STATUS:
The Power of Connectivity.  Back Settlement Instruction Detail KEY SETTLEMENT DETAILS  Successfully Rejected SI STATUS	SI SI	HEALTH CHECK TRANS	ACTION REFERENCES AND	C 13 April 2022	Balast Acareva
The Power of Connectivity.	LC CHECKER: -	HEALTH CHECK TRANS	ACTION REFERENCES AND	CASS STATUS:	CANCELLATION STATUS:

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

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

	EX Syn										🗖 13 Apri	1 2023 🖲 sy	muat143	synuat143	~ X
	Dashboard		Settlement Ins	structions		Funds	A	R	elationships		Market Data		R	eports	
ettlem	ent Instruction	s													
	SETTLEMEN		4	L	1	0	1	0					Q Sear	ch Gener	rate Repor
			P	rocessing	Unmatched	Matched	Settled	Cancelled					2021-06	6-05	
INS TYPE	× ∓ ISIN × ∓	QUANTITY	SETTLEMENT CURRENCY	≜ ₹ SETT AMO		TYPE A T	PAYMENT MODE	T ≜ ∓ GC ACC AT LC	OUNT A T CP CCASS	≜ <b>≑ SPSA</b> ≜ ₹ 1	TRADE ID 🍐 Ŧ	GC ≜ ∓ LC ≜	<b>▼ CP</b> ≜ <del>▼</del>	STATUS 4 3	F
SI	CNE100003089	279,600	CNY	4,065	977.07	DELI	DVP	762796	B01110	80000001 2	2796912176691269	/ /	~	Settled	DETAILS
SI	CNE1000030S9	2,102	CNY	4,065	977.07	DELI	DVP	1234567	B9 B01110	80000001 0	000000756190943		-		DETAILS
SI	CNE100003059	2,102	CNY	4,065	977.07	DELI	DVP	1234567	B9 B01110	80000001 0	000000756190944		-		DETAILS
SI	CNE100003059	2,102	CNY	4,065	,977.07	DELI	DVP	1234567	B9 B01110	80000001 0	000000756190941	- •	-		DETAILS
SI	CNE100003059	2,102	CNY	4,065	977.07	DELI	DVP	1234567	B9 B01110	80000001 0	000000756190942		-		DETAILS
SI	CNE100003059	2,102	CNY	4,065	,977.07	DELI	DVP Previou	1234567 s < → Next	B9 B01110	80000001 0	000000756190940	~ ~	-	Unmatched	DETAILS

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



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

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

KEX Synapse			Juli S	🖾 13 Api	ril 2023 🖲 synuat143 synuat143 🗠
Settlement Instruction De	etails Trade ID: 000000075619	0941			Reject
ETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES	S AND LIFECYCLE	
ssfully Rejected					
SI STATUS					
LC MAKER: × REJECTED	LC CHECKER: × REJECTED	GC APPROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
Account Servicer Deadline Missed [ADEA]	Account Servicer Deadline Missed [ADEA]	NA	NA	NA	NA
			1		

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

This settlement instruction can be re-approved by LC Transaction Balance Input Only and Input Authorise Users again once the issues have been resolved. The re-approval process is the same as approval.

The settlement instruction can also be re-rejected by LC Transaction Balance Input Only and Input Authoriser Users again if the rejection reason needs to be updated. The re-rejection process is the same as rejection.

	EX Syn wer of Connectiv									🖻 13 Apri	2023 🕃 s	ynuat14	13 synuat143	- X
	Dashboard		Settlement Ir	structions	,	Funds	A	Relation	ships	Market Data			Reports	
ettleme	ent Instructio	ns												
	ETTLEME			4	1	0	1	0				Q Se	arch Gene	rate Repo
				rocessing	Unmatche	d Matched	Settled	Cancelled				2021-	06-05	
INS A	ISIN A T	QUANTITY	SETTLEMENT			A TYPE A	MODE	GC ACCOUNT A	CP CCASS	A T SPSA A T TRADE ID A T	GC ^ 🔻 LC 4	T CP A	• STATUS * 1	
SI	CNE10000305	279,600	CNY	4,06	85,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	~ ~	~	Settled	DETAIL
SI	CNE10000305	2,102	CNY	4,06	85,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190943		-		DETAILS
ci.	CNE10000305	2,102	CNY	4,08	85,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944	21 21	-		DETAILS
51		2 102	CNY	4.06	85.977.07	DELI	DVP	123456789	B01110	80000001 0000000756190941	- ×			
	CNE100003059	22,102	GINT											DETAILS
si si	CNE100003059		CNY		65,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942				DETAILS

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



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

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

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



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



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

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

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

	EX Synapse wer of Connectivity.							🗖 13 Apri	il 2023 🏵 syr	nuat143 synuat143	3 × 🗙
	Dashboard	Settlement Instru	uctions	Funds	A	Relations	hips	Market Data		Reports	
Settlem	ent Instructions										
	SETTLEMENT	4 Proc	1 cessing Unmatche	<b>O</b> d Matched	1 Settled	<b>O</b> Cancelled			c		erate Report
INS TYPE		SETTLEMENT CURRENCY	A T SETTLEMENT AMOUNT	≜ ₹ TYPE ≜ 3	MODE	T A GC ACCOUNT A AT LC	CP CCASS	△ ♥ SPSA △ ♥ TRADE ID △ ♥	GC 🌣 🔻 LC 🖄	2021-06-05 • CP • • • STATUS •	•
SI	CNE1000030S9 279,600	CNY	4,065,977.07	DELI	DVP	762796	B01110	80000001 2796912176691269	× ×	<ul> <li>Settled</li> </ul>	DETAILS >
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190943		-	DETAILS >
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190944		-	DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190942		-	DETAILS >
SI	CNE1000030S9 2,102	CNY	4,065,977.07	DELI	DVP	123456789	B01110	80000001 0000000756190940		<ul> <li>Unmatched</li> </ul>	d DETAILS >
SI	CNE100003089 2,102	CNY	4,065,977.07	DELI	DVP Previou	123456789 Is < > Next	B01110	80000001 0000000756190941	- ×	-	DETAILS >

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



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

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

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

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

#### Background

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

#### **Workflow and Process**

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

#### Recommendation

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



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

HKEX Synapse The Power of Connectivity.					🗖 10 July 2024 🕲 synuat783 synuat783 ~ 💢
KEY SETTLEMENT DETAILS SETTLEMENT		INSACTION REFERENCES AND LIFECYCLE			Reject Approv
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE000000040	Depository BIC	XHKCHKHIXXXX	Trade Date	2023-09
Local Code	70001	Quantity	340,000	Туре	RE
Name	PING AN BANK CO., LTD. (A #000001)	Settlement Date	2023-09-01	Payment	
		Settlement Currency	CNY	Deal Price Currency	(
		Settlement Amount	340,000.01	Deal Price	4
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
D	55202406	AM BIC	SYNCOMP173X	LC BIC	SYNCOMP1
Name	Fund Profile 202406	AM Name	SynComp173	LC Name	SynCom
		Investor ID	300013	SPSA	8000
		GC BIC	SYNCOMP356X	Counterparty - EP (BIC/ Name/ LEI)	Seller, 300 Seller Lane, NY, NY 6
		GC Name	SynComp356	Counterparty - CP CCASS ID	801
		GC's Account at LC	76202406	CP's Account at CCASS	
		EP's Account at CP			

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

HKEX Synapse The Power of Connectivity. • Back. Settlement Instruction Details Trade ID: 6171230902				🛙 10 July 2024 @ synual783 synual783 🗸 🔀
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION REFERENCES	AND LIFECYCLE		
SI HEALTH CHECK:				
CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE	
✓ ISIN	Health Check Passed	-	-	
Settlement Date	Health Check Passed	-	-	
Counterparty ID	-	-	-	
EP's account at CP	EP's account at CP is empty	-	=	

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

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

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

HKEX Synaps The Power of Connectivity.	e i					🛱 10 July 2024 🕲 synuat763 synuat763 🕤 💢
Back Settlement Instruction D	etails Trade ID: 6171230902	2150034				Reject Approv
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECY	/CLE		
Successfully Approved						
SI STATUS						
LC MAKER: V APPROVED	LC CHEC	KER: -	GC APPROVED: ~ APPROVED	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:		Reason:	Reason:	Reason:	Reason:
NA	NA		NA	NA	NA	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.

i ne Po	ower of Connectivit	y.					, ll	0						ynuat211 synuat211	
	Dashboard		Settlement In:	structions	,	Accounts			Relationships		Market Data			SynComp531 ACTING AS:	
ettlem	ent Instruction	s							111-0					Identity: Exchange Participant	
		_												Function 1 : SYN User	
	SETTLEMEN		(	6	0	0	1	0						Role Type: Input-Only	e R
														Eunction 2 :	
			P	rocessing	Unmatched	Matched	Settled	Cancelled						Transaction-Balances	
			P	rocessing	Unmatched	Matched	Settled	Cancelled						Transaction-Balances	_
NS YPE	≜ <del>∓</del> ISIN ≜ <del>∓</del>				Unmatched ETTLEMENT MOUNT	Matched ≜ ∓ TYPE		IENT AFE	P'S ACCOUNT	≜ <del>∓</del> AM BIC ≜ <del>∓</del>		CP 🗠	Ŧ GC <sup>c</sup>	Transaction-Balances Role Type: Input-Only Function 3 :	-
	^ ╤ ISIN ^ ╤ <u>CNE1000030S9</u>		SETTLEMENT	- ≜ ₹ S A	ETTLEMENT		≜ ∓ PAYN MOD	IENT <sup>A</sup> ŦE E A			TRADE ID △ 〒 ( 000000056341153		₹ GC 4	Transaction-Balances Role Type: Input-Only Function 3 : Data Manager	
YPE		2,102	SETTLEMENT CURRENCY	A ∓ S A 4,	ETTLEMENT	≜ <del>⊽</del> TYPE	≜ <del>∓</del> PAYN MOD DVP	IENT AFE	TCP	DTCCMEORXXX		3 -	₹ GC * - -	Transaction-Balances Role Type: Input-Only Function 3 :	ЕТА
YPE	CNE100003059	2,102	SETTLEMENT CURRENCY CNY	- ▲ = S A 4, 4,	ETTLEMENT MOUNT ,065,977.07	≜ <del>⊽</del> TYPE RECE	A T PAYN MOD DVP DVP	IENT AFE E A S	AT CP 199991	DTCCMEORXXX	000000056341153	s - 3 ✓	-	Transaction-Balances Role Type: Input-Only Function 3: Data Manager Role Type: Input-Only	ЕТА
YPE I	CNE100003059 CNE100003059	2,102 279,600 2,102	SETTLEMENT CURRENCY CNY CNY	- ▲ <del>=</del> 8 A 4, 4,	ETTLEMENT MOUNT ,065,977.07 ,065,977.07	≜ <del>=</del> TYPE RECE RECE	A T PAYM MOD DVP DVP DVP	IENT A F E E A S S	AT CP 199991 100546	DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX	000000056341153	s − s ✓ 2 −	-	Transaction-Balances Role Type: Input-Only Function 3 : Data Manager Role Type:	ЕТА ЕТА
YPE I I I	CNE100003059 CNE100003059 CNE100003059	2,102 279,600 2,102 2,102	SETTLEMENT CURRENCY CNY CNY CNY	- ▲ <del>=</del> 8 A 4, 4, 4,	ETTLEMENT MOUNT ,085,977.07 ,085,977.07	A TYPE RECE RECE RECE	A T PAYM MOD DVP DVP DVP	1ENT A 7 E E A S S S S S S	NT CP 1999991 100546 1999991	DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX	( 000000005634115 ( 5000916261292796 ( 0000000056341152	3 - 3 ✓ 2 - 4 -	- ~	Transaction-Balances ⊘ Role Type: Input-Only Data Manager ⊘ Role Type: Input-Only U Logout	ЕТА ЕТА ЕТА
YPE I I	CNE100003059 CNE100003059 CNE100003059 CNE100003059	2,102 279,600 2,102 2,102 2,102 92,000	SETTLEMENT CURRENCY CNY CNY CNY CNY CNY	- ▲ = S A 4, 4, 4, 4, 4, 4,	ETTLEMENT MOUNT .065,977.07 .065,977.07 .065,977.07	A TYPE RECE RECE RECE		IENT AFE	NT CP 199991 100546 199991 199991	DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX DTCCMEORXXX	<ol> <li>0000000056341153</li> <li>5000916261292796</li> <li>0000000056341152</li> <li>0000000056341154</li> </ol>	3 - 3 ✓ 2 - 4 - 3 -	- ~	Transaction-Balances Transaction-Balances Input-Only Putction 3 : Data Manager Role Type: Input-Only ULogout	ETA ETA ETA DETA DETA

HKEX Synaps The Power of Connectivity.				🗖 13 April 2023 🖲 s	nynuat211 synuat211 🗸 💢
Eack Settlement Instruction KEY SETTLEMENT DETAILS	Details Trade ID: 0000000056 SETTLEMENT STATUS		TION REFERENCES AND	DLIFECYCLE	
FINANCIAL INSTRUMENT DE	TAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-0
Local Code	93986	Quantity	2,102	Туре	REC
Name GIGADEVIO	E SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	Ch
		Settlement Amount	4,065,977.07	Deal Price	44.
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	US
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
EP BIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	999991				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				
CP's Account at CCASS	11				

# 7.3.2.2 Clearing Participant (CP)

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



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

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

		apse								🗂 13 April 🕯	2023 (	🖲 synua	t281 synuat28	ii ~ 💢
	Dashboard		Settlement In:	structions	Acc	ounts		Relationships		Market Data			Reports	
ettlen	nent Instruction	ns												
	SETTLEMEN		(	6 0	0	1	0					Qs	Search Gen	erate Repor
			P	rocessing Unma	tched Mate	ched Settled	Cancelled					20:	21-06-05	e
	ISIN A T	QUANTITY &	P SETTLEMENT CURRENCY	SETTLEMENT	tched Mate	PAYMENT A	Cancelled EP'S ACCOUNT AT CP	A T CP'S A T ACCOUNT AT CCASS	LC CCASS ID	TRADE ID A T	P≜∓(	-	21-06-05 C A Y STATUS	
TYPE	TISIN ** CNE100003059		SETTLEMENT	AT SETTLEMENT		PAYMENT	EP'S ACCOUNT	ACCOUNT AT	CCASS	* TRADE ID * * C 5000916261222796 -		-		*
	Iona	92,000	SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	≜ т түре ≜	PAYMENT A MODE	EP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS			GC A T L	C ≜ ♥ STATUS ·	DETAILS
IYPE SI	CNE100003059	92,000 279,600	SETTLEMENT CURRENCY CNY	A SETTLEMENT AMOUNT 4,065,977.07	A TYPE A	PAYMENT A MODE	EP'S ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -		3C ^ ¥ L(	C ≜ ♥ STATUS ·	DETAILS
FYPE SI SI SI	CNE100003059 CNE100003059	92,000 279,600 2,102	SETTLEMENT CURRENCY CNY CNY	* SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07	A TYPE A DELI RECE	PAYMENT A MODE DVP DVP	EP'S ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 -	-	3C ^ ¥ L(	C ≜ ♥ STATUS ·	
FYPE SI SI SI SI	CNE100003059 CNE100003059 CNE100003059	92,000 279,600 2,102 2,102	SETTLEMENT CURRENCY CNY CNY CNY	A SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07	A TYPE A DELI RECE RECE	PAYMENT A MODE DVP DVP DVP	EP'S ACCOUNT AT CP 900546 900546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -		3C ^ ¥ L(	C ≜ ♥ STATUS ·	DETAILS DETAILS DETAILS
	CNE100003059 CNE100003059 CNE100003059 CNE100003059	92,000 279,600 2,102 2,102 2,102	SETTLEMENT CURRENCY CNY CNY CNY CNY	A * SETTLEMENT 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	A TYPE A DELI RECE RECE RECE	PAYMENT A MODE DVP DVP DVP DVP DVP	EP'S ACCOUNT AT CP 900546 900546 999991 999991	ACCOUNT AT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 000000056341152 - 000000056341153 -		3C A V LO	C A V STATUS A	DETAILS DETAILS DETAILS DETAILS

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

e Back Settlement Ir	nstruction De	tails Trade ID: 00000000563	341150			Reject Approx
EY SETTLEMENT I	DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK TRAN	SACTION REFERENCES ANI	DLIFECYCLE	
FINANCIAL INSTRU	MENT DETA	ILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN		CNE1000030S9	Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-
Local Code		93986	Quantity	2,102	Туре	REG
Name	GIGADEVICE	SEMICONDUCTOR(BEIJING) INC	Settlement Date	2021-06-06	Payment	D
			Settlement Currency	CNY	Deal Price Currency	CI
			Settlement Amount	4,065,977.07	Deal Price	44.
			Effective Settlement Date		Currency To Buy	
			Settled Currency		Currency To Sell	U
			Settled Amount		FX Cancellation	
			Real-Time Settlement Indicator	False		
PARTICIPANT DETA	ILS					
EP BIC		DTCCSELLXXX				
EP Name		SynComp531				
EP's Account at CP		999991				
CP BIC		DTCCDEAGXXX				
CP Name		SynComp541				
CP's Account at CCASS		11				

Settlement Instruction De	tails Trade ID: 00000000	56341150			Reject A
ETTLEMENT DETAILS	SETTLEMENT STATUS		SACTION REFERENCES AND	D LIFECYCLE	
SI STATUS					
CP MAKER: -	CP CHECKER: -	GC APPROVED: ~ APPROVED	LC APPROVED: ~ APPROVED	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA
KEX Synapse				🖻 13 Ap	ril 2023 ⊕ synuat281 synuat281  √
Power of Connectivity.		956341150		🗖 13 Ap	ril 2023 ④ synuat281 synuat281 ~ Based
KEX Synapse Power of Connectivity.			SACTION REFERENCES AND		ril 2023 ④ synuat281 synuat281 ~ Reject
Power of Connectivity.	tails Trade ID: 0000000		SACTION REFERENCES AND		ril 2023 🕃 synuat281 synuat281 👻 Reject

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

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

The Pov	EX Synap									🛱 13 April 20	023 🖲 s	ynuat283 synuat28	3 ~ 💢
	Dashboard		Settlement Ins	structions	Acc	ounts	- / I	Relationships		Market Data		Reports	
ttleme	ent Instructions												
	ETTLEMENT		e	6 0	0	1	0					Q Search Gen	erate Repo
			P	rocessing Unma	tched Mate	ched Settled	Cancelled					2021-06-05	
												2021-00-05	
NS A T	TISIN ≜ ₹ QUAI		SETTLEMENT CURRENCY	A # SETTLEMENT AMOUNT	≜ <del>▼</del> TYPE ≜	PAYMENT A	EP'S ACCOUNT AT CP	A T CP'S ACCOUNT AT CCASS	LC CCASS	TRADE ID △ ▼ CP	≜ ∓ GC	2021-00-05	
	ISIN ▲ ♥ QUAN				≜ <b>∓ TYPE</b> ≜ DELI		ACCOUNT	ACCOUNTAT	CCASS	■ TRADE ID △ = CP 5000916261222796 =	- × GC		
YPE		10	CURRENCY	AMOUNT		MODE	ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS			à ∓ LC à ∓ STATUS à	DETAIL
YPE I	CNE100003089 92,00	i0 i00	CURRENCY	AMOUNT 4,065,977.07	DELI	MODE DVP	ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	-	a ∓ LC a ∓ STATUS a	₹
YPE I I	CNE100003059 92,00 CNE100003059 279,6	i0 i00	CURRENCY CNY CNY	AMOUNT 4,065,977.07 4,065,977.07	DELI	MODE DVP DVP	ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 ✓		a ∓ LC a ∓ STATUS a	DETAIL DETAIL DETAIL
YPE I I I I	CNE100003089 92,00 CNE100003089 279,6 CNE100003089 2,102	io ioo !	CURRENCY CNY CNY CNY	AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07	DELI RECE RECE	MODE DVP DVP DVP	ACCOUNT AT CP 900546 900546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 ✓ 0000000056341152 -		a ∓ LC a ∓ STATUS a	DETAIL DETAIL DETAIL DETAIL
YPE	CNE100003059 92,00 CNE100003059 279,6 CNE100003059 2,102 CNE100003059 2,102	10 100 1 1	CNY CNY CNY CNY CNY CNY	AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	DELI RECE RECE RECE	MODE DVP DVP DVP DVP	ACCOUNT AT CP 900546 9909546 999991 999991	ACCOUNT AT CCASS 11 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -		a ∓ LC a ∓ STATUS a	<b>₽</b> DETAIL DETAIL

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

eBack Settlement Instruction Details Trade ID: 000000056341150									
KEY SETTLEME	NT DETAILS SETTLEMENT ST	ATUS SI	HEALTH CHECK TRANSACT	ION REFERENCES AND	LIFECYCLE				
FINANCIAL INST	RUMENT DETAILS	SE	TTLEMENT DETAILS		TRADE DETAILS				
ISIN	CNE1	000030S9 De	pository BIC	XHKCHKH1XXX	Trade Date	2021-06-05			
Local Code		93986 Qu	antity	2,102	Туре	RECE			
Name	GIGADEVICE SEMICONDUCTOR(BEI	IJING) INC Set	ttlement Date	2021-06-06	Payment	DVF			
		Set	ttlement Currency	CNY	Deal Price Currency	CNY			
		Set	ttlement Amount	4,065,977.07	Deal Price	44.06			
		Eff	fective Settlement Date		Currency To Buy				
		Set	ttled Currency		Currency To Sell	USE			
		Set	ttled Amount		FX Cancellation				
		Re	al-Time Settlement Indicator	False					
PARTICIPANT D	ETAILS								
EP BIC	DTCC	SELLXXX							
EP Name	Syr	nComp531							
EP's Account at CP		999991							
CP BIC	DTCC	DEAGXXX							
CP Name	Syr	nComp541							
CP's Account at CC	ASS	11							

HKEX Synapse The Power of Connectivity.	•			🗖 13 April 2023	8 🕲 synuat283 synuat283 🕤 💢
←Back Settlement Instruction De	etails Trade ID: 000000005634	11150			Reject Approve
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK TRANS	ACTION REFERENCES AND	LIFECYCLE	
SI STATUS					
CP MAKER: V APPROVED	CP CHECKER: -	GC APPROVED: ~ APPROVED	LC APPROVED: V APPROVED	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
NA	NA	NA	NA	NA	NA

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

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



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

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

HKEX Syl				🗖 13 April 2023 🕃	synuat281 synuat281 🗸 🚶
←Back Settlement In:	struction Details Trade ID: 0000000	56341154			Reject Approv
KEY SETTLEMENT D	ETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSAC	TION REFERENCES AND	LIFECYCLE	
FINANCIAL INSTRUM	IENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030	59 Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-0
Local Code	939	86 Quantity	2,102	Туре	REC
Name 0	SIGADEVICE SEMICONDUCTOR(BEIJING) IN	IC Settlement Date	2021-06-06	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	4,065,977.07	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	US
		Settled Amount		FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAI	LS				
EP BIC	DTCCSELLX	x			
EP Name	SynComp5	31			
EP's Account at CP	9999	91			
CP BIC	DTCCDEAGX	x			
CP Name	SynComp5	41			
		11			

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

HKEX Syna The Power of Connectivity.	ipse			🗂 13 April 2	2023 🖲 synuat281 synuat281 🕤 💢
	ction Details Trade ID: 00000005	66341154			Reject Approve
KEY SETTLEMENT DET	AILS REJECTION CODE:				
FINANCIAL INSTRUMEN	T DET/ Please select the code corre	esponding to your reason for reject	tion of this Settlement Instructio	in:	
ISIN				Cancel Submit	2021-06-05
Local Code Name GIGA	DEVICE			Cancer	RECE
					CNY
					44.06
					USD
PARTICIPANT DETAILS					
EP BIC EP Name					
EP's Account at CP					
CP BIC CP Name					
CP's Account at CCASS	SynComp54	11			
HKEX Syna The Power of Connectivity	apse			🗂 13 April	2023 🕃 synuat281 synuat281 🕤 🎽
The Power of Connectivity		a a constante da con	le sa		
←Back Settlement Instru	ction Details Trade ID: 0000000	56341154			Reject Approve
KEY SETTLEMENT DET	AILS SETTLEMENT STATUS	SI HEALTH CHECK TI	RANSACTION REFERENCI	ES AND LIFECYCLE	
Successfully Rejected					
SI STATUS					
CP MAKER: × REJE	CP CHECKER: -	GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:
Invalid Rule [VALR]	NA	NA	NA	NA	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.

	EX Syna wer of Connectivity										🗖 13 April 20	23 🕃 syn	uat283 synuat283	× X
	Dashboard		Settlement In	struction	15	Acc	counts		Relationships		Market Data		Reports	
ttleme	ent Instruction	s												
s	ETTLEMEN			5	1	0	1	0				c	Search Gene	rate Repo
IN	STRUCTION	NS .	,			•								
IN	STRUCTION	NS		Processin	g Unma		ched Set	tled Cancelled	i i				2021-08-05	
		NS RUANTITY A T		Processin	LEMENT	tched Mat		tled Cancelled	≜ ∓ CP'S	≜∓LC ≜ CCASS ID	<sup>〒</sup> TRADE ID <sup>▲</sup> <sup>〒</sup> CP		2021-06-05 • LC & = STATUS &	
NS A T		QUANTITY A -	SETTLEMENT	Processin ^ = SETT AMO	LEMENT	tched Mat	· PAYMEN	ttled Cancelled	△ 〒 CP'S ACCOUNT AT	CCASS	〒 TRADE ID ▲ 〒 CP 5000916261222796 =			Ŧ
NS A T	FISIN ≜ ∓ Q	2,000	SETTLEMENT CURRENCY	Processin ^ = SETT AMO 4,065	LEMENT UNT	tched Mat	* PAYMEN MODE	ttled Cancelled T ≜ = EP'S ACCOUNT AT CP	A T CP'S ACCOUNT AT CCASS	CCASS ID				÷ DETAIL
NS A T TYPE	F ISIN ≜ ∓ Q <u>CNE100003059</u> 9:	2,000 79,600	SETTLEMENT CURRENCY CNY	Processin	LEMENT UNT 5,977.07	tched Mat	PAYMEN MODE	T A EP'S ACCOUNT AT CP 900546	A ₹ CP'S ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -		FLC ≜ ∓ STATUS ≜	Ŧ DETAILS DETAILS
NS A TYPE	F ISIN ▲ ∓ Q CNE100003059 9: CNE100003059 2	2,000 79,600 ,102	SETTLEMENT CURRENCY CNY CNY	▲ = SETT AMO 4,065 4,065 4,065	5,977.07 5,977.07	tched Mat	PAYMEN MODE DVP DVP	T <sup>A</sup> = EP'S ACCOUNT AT CP 900546 900546	A ∓ CP'S ACCOUNTAT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 ✓		FLC ≜ ∓ STATUS ≜	₹ DETAIL: DETAIL: DETAIL:
NS A T	E ISIN ▲ 〒 Q <u>CNE100003059</u> 9: <u>CNE100003059</u> 2: <u>CNE100003059</u> 2:	2,000 79,600 ,102 ,102	SETTLEMENT CURRENCY CNY CNY CNY	Processin ▲ = SETT AMO 4,065 4,065 4,065 4,065	5,977.07 5,977.07 5,977.07	tched Mat ▲ ♥ TYPE ▲ DELI RECE RECE	PAYMEN MODE DVP DVP DVP DVP	ttled Cancelled T ▲= EP'S ACCOUNT AT CP 900546 999991	A	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -		FLC ≜ ∓ STATUS ≜	₹ DETAILS DETAILS DETAILS
NS ^ = TYPE	E ISIN A TO CONTRACT OF CONTRACT.	2,000 79,600 ,102 ,102 ,102	SETTLEMENT CURRENCY CNY CNY CNY CNY	Processin ▲ ♥ SETT AMO 4,065 4,065 4,065 4,065 4,065 4,065 4,065	5,977.07 5,977.07 5,977.07 5,977.07 5,977.07	tched Mat ▲ 〒 TYPE ▲ DELI RECE RECE RECE	PAYMEN MODE DVP DVP DVP DVP	ttled Cancelled T ▲ = EP'S ACCOUNT AT CP 900546 909546 999991 999991	▲ 〒 CP'S ACCOUNT AT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -		FLC ≜ ∓ STATUS ≜	

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

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

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

The re-approval process is the same as approval, while the settlement instruction can also be re-rejected by CP Transaction Balance Input Only and Input Authoriser Users again if the rejection reason is needed to update. The re-rejection process is the same as rejection.

HKEX Synapse The Power of Connectivity.	•			🛱 13 Apr	il 2023 🖲 synuat283 synuat283 🗸 💢
Back Settlement Instruction De	etails Trade ID: 0000000056341	154			Reject Approve
KEY SETTLEMENT DETAILS	SETTLEMENT STATUS SI	HEALTH CHECK	TRANSACTION REFERENCES A	ND LIFECYCLE	
Successfully Rejected SI STATUS					
CP MAKER: × REJECTED Reason: Invalid Rule [VALR]	CP CHECKER: × REJECTED Reason: Invalid Rule [VALR]	GC APPROVED: Reason: NA	LC APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

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



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

KEX Synaps				🗖 13 Ap	ril 2023 🖲 synuat283 synuat283 👻
Settlement Instruction D	Details Trade ID: 000000005634	1152			Reject Ap
ETTLEMENT DETAILS	SETTLEMENT STATUS	I HEALTH CHECK	TRANSACTION REFERENCES	S AND LIFECYCLE	
ed to Maker					
SI STATUS					
CP MAKER: PENDING AMENDMENT Reason:	CP CHECKER: REJECTED TO MAKER Reason:	GC APPROVED:	LC APPROVED: Reason:	CCASS STATUS: Reason:	CANCELLATION STATUS: Reason:
NA	NA	NA	NA	NA	NA

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

									🗖 13 April 202	23 🕃 sy	/nuat283 synuat	283 - 💢
	Dashboard	Settlement Ins	structions	Acc	ounts	R	elationships		Market Data		Reports	
ettlem	nent Instructions											
5	SETTLEMENT	5	5 1	0	1	0					Q Search	enerate Repor
IN	ISTRUCTIONS	-		-								
		P	rocessing Unmat		ched Settle						2021-06-05	
		P	rocessing Unmat	ched Mat	PAYMENT		CP'S ACCOUNTAT CCASS	LC CCASS ID	TRADE ID A V CP A	₹ GC Å	2021-08-05	S ☆ ♥
NS Å TYPE		PI	SETTLEMENT		PAYMENT	EP'S ACCOUNT	ACCOUNTAT	CCASS	• TRADE ID • • CP • 5000916261222796 -	₹ GC ≜		
NS Å TYPE	▼ ISIN <sup>▲</sup> ▼ QUANTITY	SETTLEMENT CURRENCY	SETTLEMENT	≜ <del>▼</del> TYPE ≜	PAYMENT ON MODE	EP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS		- ⊂ √		S A T
NS A TYPE	• ISIN * • QUANTITY CNE100003058 92,000	SETTLEMENT CURRENCY CNY	** SETTLEMENT AMOUNT 4,065,977.07	A Y TYPE A	PAYMENT A	EP'S ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	-	▼ LC A ▼ STATU	DETAIL:
NS Å	CNE100003059 22,000	SETTLEMENT CURRENCY CNY CNY	** SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07	A V TYPE A DELI RECE	PAYMENT 6 MODE DVP DVP	EP'S ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 ✓	-	▼ LC A ▼ STATU	DETAIL: DETAIL: DETAIL:
NS <sup>A</sup> TYPE SI SI SI	VISIN * VQUANTITY CNE100003059 92,000 CNE100003059 279,600 CNE100003059 2,102	SETTLEMENT CURRENCY CNY CNY CNY	A SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07	DELI RECE RECE	PAYMENT A MODE DVP DVP DVP	EP'S ACCOUNT AT CP 900546 900546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -	-	► LC * ▼ STATU - Settled	DETAILS DETAILS DETAILS DETAILS
NS <sup>*</sup> TYPE <sup>*</sup> SI SI SI SI	CNE100003059 02.000 CNE100003059 02.000 CNE100003059 270.600 CNE100033059 2.102 CNE100003059 2.102	* SETTLEMENT CURRENCY CNY CNY CNY CNY	* SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	▲ ♥ TYPE ▲ DELI RECE RECE RECE	PAYMENT A MODE DVP DVP DVP DVP	EP'S ACCOUNT AT CP 900546 999901 999901	ACCOUNT AT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -		► LC A T STATU - Settled	DETAILS DETAILS DETAILS DETAILS DETAILS

# Rejection by CP Transaction Balance Input Only User;

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



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

IKEX Synaps ne Power of Connectivity.	e			🗖 13 Ap	rril 2023 🖲 synuat283 synuat283 👻
Settlement Instruction D	Details Trade ID: 00000000563	41152 SI HEALTH CHECK	TRANSACTION REFERENCES	AND LIFECYCLE	Reject App
ected to Maker					
CP MAKER: PENDING AMENDMENT Reason:	CP CHECKER: REJECTED TO MAKER Reason: NA	O GC APPROVED: - Reason: NA	LC APPROVED: Reason: NA	CCASS STATUS: Reason: NA	CANCELLATION STATUS: Reason: NA

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

The P	EX Synapse					0				🗖 13 April 2	2023 🕃 s	ynuat283 s	synuat283	~ <b>X</b>
	Dashboard	Settlement I	nstructi	ions	Acc	ounts	F	Relationships		Market Data		Re	ports	
ettler	ment Instructions													
	SETTLEMENT		5	1	0	1	0					Q Searc	Genera	ate Repo
11	NSTRUCTIONS			ing Upma	tched Mat	bad Rattle	d Cancelled							
11	NSTRUCTIONS			sing Unma	itched Mat	ched Settle	ed Cancelled					2021-06-	05	
NS 4			Process	Sing Unma		PAYMENT MODE		A CP'S ACCOUNTAT CCASS	LC CCASS ID	TRADE ID A V C	P 🏾 🔻 GC 🛎		05 STATUS A 👻	5
NS YPE		SETTLEMENT	Process A T SE	TTLEMENT		PAYMENT	A TEP'S	ACCOUNTAT	CCASS	• TRADE ID • • C			STATUS A 🔻	
NS YPE	≜ ₹ ISIN ≜ ₹ QUANTITY	SETTLEMENT CURRENCY	Process A SE AM 4,0	ETTLEMENT	≜ ₹ TYPE ≜	PAYMENT	A TEP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS		-	- LC * * 8	STATUS A 👻	DETAIL
NS YPE	** ISIN ** QUANTITY CNE100003059 92,000	SETTLEMENT CURRENCY CNY	Process A SE AN 4,0 4,0	ETTLEMENT MOUNT 065,977.07	▲ ♥ TYPE ▲ DELI	PAYMENT MODE	A TCP ACCOUNT ATCP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	-	- LC * * 8	STATUS A 👻	DETAIL
NS YPE	CNE100003059 92,000 CNE100003059 92,000	SETTLEMENT CURRENCY CNY CNY	Process	ETTLEMENT MOUNT 065,977.07 065,977.07	A TYPE A DELI RECE	PAYMENT MODE	<ul> <li>EP'S ACCOUNT AT CP 900546 900546</li> </ul>	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 ~		- LC * * 8	STATUS A 👻	DETAIL DETAIL DETAIL
NS <sup>4</sup> YPE II II II	CNE10003089 92,000 CNE10003089 92,000 CNE10003089 279,600 CNE10003089 2,102	SETTLEMENT CURRENCY CNY CNY CNY	Process A SE AM 4,0 4,0 4,0 4,0	ETTLEMENT MOUNT 065,977.07 065,977.07 065,977.07	A TYPE A DELI RECE RECE	DVP DVP DVP	COUNT AT CP 900546 900546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 -	-	- LC * * 8	<b>STATUS</b> ▲ ♥	DETAIL DETAIL DETAIL DETAIL
	CNE100003059 02,000 CNE100003059 279,600 CNE100003059 2,102 CNE100003059 2,102	SETTLEMENT CURRENCY CNY CNY CNY CNY	Process SE AN 4,0 4,0 4,0 4,0 4,0 4,0 4,0 4,0	D65,977.07 D65,977.07 D65,977.07 D65,977.07	A Y TYPE A DELI RECE RECE RECE	PAYMENT MODE DVP DVP DVP DVP	COUNT ACCOUNT AT CP 900546 909991 999991	ACCOUNT AT CCASS 11 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -			<b>STATUS</b> ▲ ♥	DETAIL: DETAIL: DETAIL: DETAIL: DETAIL:

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



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

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

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

The Po	EX Synaps								🗖 13 April 2	023 🕃 sy	ynuat283 synı	uat283 👻 🍂
	Dashboard	Settlement Ins	structions	Acc	ounts	F	Relationships		Market Data		Repor	rts
ettlem	ent Instructions											
	SETTLEMENT	5	5 1	0	1	0					Q Search	Generate Repo
				ched Mat	hed Settled	Canaallad						
		P	rocessing Unmai	circu mat	anea octaet	Cancelled					2021-06-05	
NS ≜ TYPE	ISIN 4 Y QUANTIT			A TYPE A	PAYMENT A		A T CP'S A ACCOUNTAT CCASS	LC CCASS	TRADE ID A T CP	≜ ¶ GC Å	2021-08-05	
YPE	SIN & QUANTIT	Y A T SETTLEMENT	A . SETTLEMENT		PAYMENT	EP'S ACCOUNT	ACCOUNTAT	CCASS	* TRADE ID * * CP 5000916261222796 -	° ₹ GC °		TUS 🔺 👻
YPE		Y * SETTLEMENT CURRENCY	SETTLEMENT AMOUNT	≜ <del>▼</del> TYPE ≜	PAYMENT MODE	EP'S ACCOUNT AT CP	ACCOUNT AT CCASS	CCASS ID		- GC -		TUS A 👻 DETAIL
YPE I	CNE100003089 92,000	SETTLEMENT CURRENCY CNY	* SETTLEMENT AMOUNT 4,065,977.07	<sup>▲</sup> ♥ TYPE ▲ DELI	PAYMENT MODE	EP'S ACCOUNT AT CP 900546	ACCOUNT AT CCASS 11	CCASS ID C00016	5000916261222796 -	-	LC * * STA	TUS A T DETAIL led DETAIL
YPE I I I	CNE100003089 92,000 CNE100003089 279,600	Y SETTLEMENT CURRENCY CNY CNY	* SETTLEMENT AMOUNT 4,065,977.07 4,065,977.07	A TYPE A DELI RECE	PAYMENT A MODE	EP'S ACCOUNT AT CP 900546 900546	ACCOUNT AT CCASS 11 11	CCASS ID C00016 C00016	5000916261222796 - 5000916261292796 ✓	-	LC * * STA	DETAIL DETAIL DETAIL
	CNE100003059 92,000 CNE100003059 279,600 CNE100003059 2,102	Y * SETTLEMENT CURRENCY CNY CNY CNY	* * SETTLEMENT 4,065,977.07 4,065,977.07 4,065,977.07	A TYPE A DELI RECE RECE	DVP DVP DVP	EP'S ACCOUNT AT CP 900546 900546 999991	ACCOUNT AT CCASS 11 11 11	CCASS ID C00016 C00016 C00016	5000916261222796 - 5000916261292796 ✓ 0000000056341152 -	-	LC * * STA	DETAIL: DETAIL: DETAIL: DETAIL: DETAIL:
YPE II II II	CNE1000030S9 92,000 CNE1000030S9 279,600 CNE1000030S9 2,102 CNE1000030S9 2,102	Y * SETTLEMENT CURRENCY CNY CNY CNY CNY	* SETTLEMENT A,065,977.07 4,065,977.07 4,065,977.07 4,065,977.07	A TYPE A DELI RECE RECE RECE	PAYMENT A DVP DVP DVP DVP DVP	EP'S ACCOUNT AT CP 900546 999901 999901	ACCOUNTAT CCASS 11 11 11 11 11	CCASS ID C00016 C00016 C00016 C00016	5000916261222796 - 5000916261292796 - 0000000056341152 - 0000000056341153 -			TUS A 👻 DETAIL

# 7.4 Special STI (SSTI) Approvals and Rejections

Special STIs (SSTIs) can be approved or rejected on the Settlement Instruction Details view. Only Users belonging to the same Participant Entity can see the internal approval status of Transaction Balance Input Only User and Transaction Balance Input Authorise User. Other Participants involved in the transaction can only see entity level approvals. E.g. Only GC can see its internal approval status (e.g. GC maker have already approved), but the other entity (e.g. AM / LC) cannot see such detail until both GC maker and checker have approved.

AM / EP are obliged to ensure their reference data setup in DTCC is correct and that any transaction is not "matched" in DTCC side, i.e. remains single sided and DTCC only send one SN for such transaction.

GCs, LCs and CPs are the only participants required to approve or reject an SSTI. AMs and EPs can only view the Settlement Instructions details.

Approvals or rejections of SSTIs by the GC, LC, or CP do not need to be done in a specific order. For example, an SSTI does not require a specific buy side participant to approve or reject before the other.

#### 7.4.1 Buy Side

# 7.4.1.1 Asset Managers (AM)

AMs have view only rights to SSTI processing.

HKEX Synapse The Power of Connectivity.	171230721133010				🗂 10 July 2024 @ symplike1759 symplike1759 🗸 💢
KEY SETTLEMENT DETAILS SETTLEMENT S	TATUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE1000030S9	Depository BIC	3HKCHRH1XXX	Trade Date	2024-07-11
Local Code	93966	Quantity	33,010	Туре	REC
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	CN
		Settlement Amount	3,301,000.10	Deal Price	44.0
		Effective Settlement Date	2024-07-10	Currency To Buy	
		Settled Currency	CNY	Currency To Sell	US
		Settled Amount	3,301,000.10	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
ID	881759	AM BIC	SYNCOMP294X	LC BIC	SYNCOMP105
Name	Fidelity China Fund 1759	AM Name	S-y n.Comp.(294).	LC Name	S-y n,Comp.(10)
Fund Account at GC	541751	Investor ID	200276	SPSA	800000
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLX
		GC Name	S-y n&Comp.(362).	Counterparty - CP CCASS ID	C000
				CP's Account at CCASS	

# 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".

The Power of C	Synapse							Carrie							0 12 A	onii 2023 (	l) synuat141 syn	nuat141 ~ 🕽
	Dashboard		Settlement In	structions				Funds		Relationships		M	arket Data				Reports	
ettlement ins	tructions																	
ETTLEME	NT INSTRUCT	IONS	14	5	0	2	0										Q Search	Generate R
			Processi	ng Unmato	hed Matcher	d Settled	Cancell	ed									2021-05	-05
NS TYPE A T	ISIN 4 T	QUANTITY	SETTLEMENT CURRENCY	4 <del>+</del>	SETTLEMEN	NT AMOUNT	t in t	TYPE	PAYMENT MODE 4 7	GC ACCOUNT AT LC 4 7	CP CCASS ID * *	SPSA * T	TRADE ID 6 T	GC * *	LCAT	CP * T	STATUS * *	
STI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80101031	000000075619081	-	-	-		DETAILS
n	CNE100003059	22,312	CNY		4,065,977.03			DELI	DVP	762231	C00016	80101031	2231094155771021	-	-	-		DETAILS
TI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619082	-	-	-		DETAILS
n	CNE100003059	2,102	CNY		4,065,977.01			DELI	DVP	444111	C00016	80101031	000000075619083	-	-	-		DETAILS
	CNE100003059	2,231	CNY		4,065,977.07			DELI	DVP	762231	B01110	80101031	2231994155771021	-	-	-		DETAILS
n	CNE1000030.59	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80101031	000000075619084	-	-	-		DETAILS
n	CNE1000030.59	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80101031	000000075619085	-	-	-		DETAILS
	CNE100003059	29,625	CNY		4,065,977.01			DELI	DVP	762231	B01110	80202031	2119994155771021	-	-	-		DETAIL
n n	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP DVP	762734 762734	C00016 C00016	80101031	2034100011076672	1	1	-	Setted	DETAILS
	CNE100003059 CNE100003059	92,200 29.627	CNY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034200011076672 2962094155771021	~	~	-	Setted	DETAILS
	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80101031	2962094155771021		-			DETAILS
	CNE100003059	2,102	CNY		4,005,977,07			DELI	DVP DVP	762251	601110	80101001	0000000756190940		-			DETAILS
	CNE100003039	29.622	CNY		4.005.977.01			DELI	DVP	762436	D01110	80101001	2119994155771021	1	1	-	Unmatched	DETAILS
	CNE100003059	29.626	CNY		4.065.977.01			DELI	DVP	762231	BE1110	80101031	2952994155771021	-	1	-	Unmatched	DETAILS
	CNE100003059	29.623	CNY		4 065 977 07			DELI	DVP	762231	B01110	80101031	2119594155771021	1	2	-	Unmalched	DETAILS
	CNE100003059	29.621	CNY		4.065.977.07			DELL	DVP	762231	B01110	80000001	2119994155771021	-	1		Unmalphod	PETAIL
	CNE100003059	29.624	CNY		4 065 977 07			DELL	DVP	762231	B01110	80101001	2119994155771021	1	1	-	Unmalched	DETAILS
	CNE1000030 59	92.200	CNY		4.005.977.07			RECE	DVP	764743	801110	80303031	7438768034052118	~	-	-		DETAILS
	CNE1000030.59	22,312	CNY		4,065,977.01			DELI	DVP	762231	C00016	80101031	2231094155771021	-	-	-		DETAILS
	CNE1000030 59	2.231	CNY		4.065.977.07			DELL	DVP	762231	801110	80101031	2231994155771021					DETAIL

- 3. The LC Transaction Balance Input Only User views the details of an SSTI and to provide the following details:
  - a. Settled Amount (optional)
  - b. CP's Account at CCASS (mandatory)

HKEX Synapse The Power of Connectwhy.			•	🗂 10 July 2024 @ symplike729 symplike729 🗸 🏌
Back Settlement Instruction Details Trade ID: 6171230721133010				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACT	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
15IN CNE10003059	Depository BIC	30HKCH80H3OCK	Trade Date	2024-07-10
Local Code 93966	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	44.05
	Effective Settlement Date		Currency To Buy	
	Settled Currency		Currency To Sell	
	Settled Amount	3301000.1 HKD	FX Cancellation	
	Real-Time Settlement Indicator	False		
FUND DETAILS	PARTICIPANT DETAILS			
ID 881759	AM EIC	SYNCOMP294X	LC BIC	SYNCOMP105X
Name Fidelity China Fund 1759	AM Name	S-y n.Comp.(294).	LC Name	S-y n,Comp.(105).
	Investor ID	200276		80600826
	GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXXX
	GC Name	S-y n&Comp.(362).	Counterparty - CP CCASS ID	C00916
	GC's Account at LC	761759	CP's Account at CCASS	
	EP's Account at CP	123456		

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

Back Settlement Instruction Details Trade ID:	6171230721133010				Reject Apre
EY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTIO	ON REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
SIN	CNE100003059	Depository BIC	20HKCHIQH12OOK	Trade Date	2024-0
cal Code	93906	Quantity	33,010	Туре	
ime	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	
		Settlement Currency	CNY	Deal Price Currency	
		Settlement Amount	3,301,000.10	Deal Price	
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount	3301000.1 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
ND DETAILS		PARTICIPANT DETAILS			
	501759	AM DIC	SYNCOMP294X	LC BIC	SYNCOM
me	Fidelity China Fund 1759	AM Name	S-y n.Comp.(294).	LC Name	S-y n,Comp
		Investor ID	200276	SPSA	800
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSE
		GC Name	S-y n&Comp.(362).	Counterparty - CP CCASS ID	c
		GC's Account at LC	761759	CP's Account at CCASS	
		EP's Account at CP	123456		
HKEX Synapse					🛱 12 April 2023 🚯 synuatt 41 synuatt 41 - 🐇
The Power of Connectivity.				•	📛 12 April 2023 🖗 synualit41 synualit41
The Power of Connectivity.	000000075619081			e e	🖰 12.4eril 2023 🖗 synuatl41 synuatl41 -
he Power of Connectivity K Settlement Instruction Details Trade ID: 1 Y SETTLEMENT DETAILS SETTLEMENT					🗂 12 April 2023 🖗 symuatiki symuatiki -
he Power of Connectivity   Settlament Instruction Details Trade ID:  ( SETTLEMENT DETAILS SETTLEMENT Cressfully Approved		ON REFERENCES AND LIFECYCLE		•	🖻 12 April 2023 🖗 symailtét symailtét –
BetHoment of Couniesthely     SetHoment Instruction Details Trade ID:     SETTLEMENT DETAILS     SETTLEMENT     SETTLEMENT     SETTLEMENT     SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTI				Front 2
he Power of Connectivity   Settlament Instruction Details Trade ID:  ( SETTLEMENT DETAILS SETTLEMENT Cressfully Approved		ON REFERENCES AND LIFECVCLE	CPAPROVER -	CCASE STATUS:	E 12 Apri 2023 @ symuattit 1 symuattit 1 -
Accessfully Approved SI STATUS	STATUS SI HEALTH CHECK TRANSACTI		CP APPROVED Reserve:	CCASE STATUS. READOR	The second s

# Approval by LC Transaction Balance Input Authorise User:

1. The LC Transaction Balance Input Authorise User will be notified that there is an SSTI pending their approval by a changed icon from '—' to 'O' in the LC column for a specific SSTI on the Settlement Instructions List view.

HKEX	Synapse							and							C 12A	April 2023	3 (i) synuat 143 :	aynuat143 👻	2
	Dashboard		Settlement Ir	nstructions				Funds		Relationships		M	arket Data				Reports		
ettlement Ins	structions																		
ETTLEME	INT INSTRUCT	IONS	11	8	0	6	6										Q Searc	ch Generate	e R
			Process	sing Unmat	ched Matche	d Settled	Cancelled	đ									20214	06-05	
NS TYPE ^ *	ISIN ^ *	QUANTITY * *	SETTLEMENT CURRENC	***	SETTLEMEN	TAMOUNT		TYPE	PAYMENT MODE **	GC ACCOUNT AT LC 1	CP CCASS ID * *	SPSA ^ *	TRADE ID * *	GC ^ *	LC **	CP 4 T	STATUS * *		
sn	CNE100003059	2,102	CNY		4.085.977.07			DEU	OVP	444111	C00016	80000001	000000075619081	-		-		DETAILS	
п	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2231094155771021	-	-	-		DETAILS	
m	CNE100003039	2,102	CNY		4,065,977.07			DELI	DVP	464111	C00016	80000001	000000075619082	-	-	-		DETAILS	
sm	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619083	-	-	-		DETAILS	
	CNE100003059	2,231	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2231994155771021		-	-		DETAILS	i.
571	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619084	-	-	-		DETAILS	
sm	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000000075619085		-	-		DETAILS	
	CNE100003059	29,625	CNY		4,085,977.07			DELI	DVP	762231	801110	80000001	2119994155771021	-	-	-		DETAILS	
STI	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034100011076672	~	1	-	Settled	DETAILS	6
m	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS	
sn	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	83030301	2034200011076672	~	~	-	Settled	DETAILS	
п	CNE100003059	29,627	CNY		4,005,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS	
1	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	762456	B01110	80000001	000000756150940	-	-	-		DETAILS	15
	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	801110	80000001	2113934155771021	~	~	-	Unmatched	DETAILS	j >
	CNE100003059	29,626	ONY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	1	1	-	Urmatched	DETAILS	
	CNE100003059	29,623	CNY		4,085,977.07			DELI	OVP	762231	801110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS	j.»
	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	1	-	Unmatched	DETAILS	4.5
	CNE100003039	29,624	CNY		4,005,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS	5.5
	CNE100003059	92,200	CNY		4,065,977.07			RECE	DVP	764743	801110	80000001	7438768034052118	1	1	-	Unmatched	DETAILS	5.5
	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	801110	80000001	2113934155771021	~	~	-	Gancelled	DETAILS	1.2
	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	1	-	Cancelled	DETAILS	1.5
	CNE100003059	29,624	CNY		4,065,977.07			DELI	OVP	762231	801110	80000001	2119934155771021	~	~	-	Cancelled	DETAILS	1.5
	CNE100003059	29,623	ONY		4,085,977.07			DELI	DVP	762231	801110	80000001	2119994155771021	1	1	-	Cancelled	DETAILS	Ď
	CNE100003059	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	1	~	1	Settled	DETAILS	1.5
n	CNE100003039	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	1	~	~	Cancelled	DETAILS	5
Π	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	~	~	~	Cancelled	DETAILS	j s
п	CNE100003059	22.312	CNY		4 065 977 07			DELI	DVP	762231	C00016	00000001	2231094155771021	1	4	4	Settled	DETAILS	

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

HKEX Synapse The Power of Connectivity.					🗄 10 July 2024 @ synpike731 synpike731 🗸 🗙
Buck Settlement Instruction Details Trade ID:	6171230721133010				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTION	DN REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	2016/01/10/2	Trade Date	2024-07-1
Local Code	93905	Quantity	33,010	Type	REC
Name	GIGADEVICE SEMICONDUCTOR(BELIING) INC	Settlement Date	2024-07-10	Payment	DV
		Settlement Currency	CNY	Deal Price Currency	CI
		Settlement Amount	3,301,000.10	Deal Price	44)
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		A Settled Amount	3,301,000.10	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
0	851759	AM BIC	SVNCOMP294X	LC BIC	SYNCOMP105
Name	Fidelity China Fund 1759	AM Name	5-y n Comp.(294).	LC Name	5-y n.Comp.(10
		Investor ID	200276	SPSA	800000
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLX
		GC Name	S-y n&Comp.(362).	Counterparty - CP CCASS ID	C000
		GC's Account at LC		A CP's Account at CCASS	
		EP's Account at CP	123456		

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

3. If the GC has not yet approved the SSTI, then the GC Transaction Balance Input Only User will be notified that there is an SSTI pending their approval by a '√' in the LC column and a '—' in the GC column.

HKEX The Power of C	Synapse														E 12.A	prii 2023	@ synuat143 s	ynuat143 -
	Dashboard		Settlement	Instructions			- п	unds		Relationships		м	arket Data				Reports	
ettlement Ins	tructions																	
ETTLEME		IONS	11	8	0	6	6										Q Search	Generate
			Proces	sing Unmat	iched Matched	Settled	Cancelled										2021-0	
NS TYPE * T	ISIN A T	QUANTITY - T	SETTLEMENT CURRENC	YAT	SETTLEMEN	TAMOUNT		TYPE	PAYMENT MODE 4 T	GC ACCOUNT AT LC 17	CP CCASS ID 17	SD SA + T	TRADE ID 1 T	60.17	LCAT	CP + T		100
SSTI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80010101	000000075619081		1	-		DETAILS >
m	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00016	80010301	2231094155771021	-	-	-		DETAILS
STI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80010101	000000075619082			-		DETAILS
STI	CNE100003059	2,102	CNY		4.055.977.07			DELI	DVP	444111	C00016	80010301	000000075619083	-	-	-		DETAILS >
	CNE100003059	2.231	ONY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2231994155771021		-	-		DETAILS >
STI	CNE100003059	2,102	CNY		4,065,977.07			DEU	DVP	444111	C00016	80010101	000000075619084	-	-	-		DETAILS >
ISTI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80010101	000000075619085		-	-		DETAILS >
H	CNE100003059	29,625	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	-	-	-		DETAILS
isti	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	80010101	2034100011076672	1	1	-	Settled	DETAILS
571	CNE100003059	29,627	CNY		4,055,977.07			DELI	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS
SSTI	CNE100003059	92,200	ONY		4,065,977.07			DELI	DVP	762734	C00016	80010001	2034200011076672	1	1	-	Settled	DETAILS
m	CNE100003059	29,627	ONY		4,065,977.07			DEU	DVP	762231	C00016	80010101	2962094155771021	-	-	-		DETAILS
8	CNE100003059	2,102	ONY		4,065,977.07			DELI	DVP	762458	801110	80000001	000000758190940	-	-	-		DCTAILS >
H .	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	1	~	-	Unmatched	DETAILS >
BI	CNE100003059	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80010101	2962994155771021	1	~	-	Unmatched	DETAILS
1	CNE100003059	29,623	CNY		4,065,977.07			DELI	DVP	762231	B01110	80010101	2115954155771021	~	~	-	Unmatched	DETAILS
8	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2115994155771021	×	1	-	Unmatched	DETAILS
1	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	B01110	80010001	2119994155771021	~	~	-	Unmatched	DETAILS >
1	CNE100003059	92,200	ONY		4,085,977.07			RECE	DVP	764743	801110	80010101	7438785034052118	1	~	-	Unmatched	DETAILS >
	CNE100033359	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80010101	2119994155771021	1	1	-	Cancelled	DETAILS >
	CNE100003059	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	×	~	-	Cancelled	DETAILS >
1	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	801110	80010101	2119994155771021	~	~	-	Cancelled	DETAILS
	CNE100003059	29,623	CNY		4,065,977.07			DELI	DVP	762231	801110	00000001	2119994155771021	×	~	-	Cancelled	DETAILS
	CNE100003059	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80010001	2962994155771021	1	1	1	Settled	DETAILS
m	CNE100003059	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00016	80010301	2962094155771021	~	~	~	Cancelled	DETAILS >
TI	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80010301	2962094155771021	1	1	1	Cancelled	DETAILS )
TI I	CNE100003059	22.312	CNY		4.065.977.07			DEU	DVP	762231	C00016	80010101	2231094155771021	1	~	~	Settled	DCTAILS >

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



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

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

HKEX Synapse The Power of Connectivity. • Back Settlement Instruction Details Trade ID: 617	r1230721133010				🗂 10 July 2024 (🖲 symplike729 symplike729 - 🗙
KEY SETTLEMENT DETAILS SETTLEMENT ST.	ATUS SI HEALTH CHECK TRANSACTION	ON REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	3HKCHIRHDOX	Trade Date	2024-07-10
Local Code	93906	Quantity	33,010	Туре	RECE
Name	GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date	2024-07-10	Payment	DVF
		Settlement Currency	CNY	Deal Price Currency	CM
		Settlement Amount	3,301,000.10	Deal Price	44.0
		Effective Settlement Date		Currency To Buy	
		Settled Currency		Currency To Sell	
		Settled Amount	3301000.1 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
iD .	881759	AM EIC	SYNCOMP294X	LC BIC	SYNCOMP 1050
Name	Fidelity China Fund 1759	AM Name	S-y n. Comp. (294).	LC Name	S-y n,Comp.(105)
		Investor ID	200276	SPSA	8000002
		GC BIC	SYNCOMP362X	Counterparty - EP (BIC/ Name/ LEI)	DT0CSELL300
		GC Name	S-y näComp.(362).	Counterparty - CP CCASS ID	C00016
		GC's Account at LC	761759	CP's Account at CCASS	
		EP's Account at CP	123456		

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

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

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

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

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

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

HKEX Synapse The Power of Connectivity.					🖽 10 July 2024 @ synplike731 synplike731 🗸 💢
Back Settlement Instruction Details Trade ID:	6171230721133010				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT	STATUS SI HEALTH CHECK TRANSACTION	IN REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003059	Depository BIC	304KCH8041XXX	Trade Date	2024-07-10
Local Code	93986	Quantity	33,010	Type	RECE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2024-07-10	Payment	DVP
		Settlement Currency	CNV	Deal Price Currency	CNY
		Settlement Amount	3,301,000.10	Deal Price	44.05
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	
		▲ Settled Amount	3,301,000.10	FX Cancellation	
		Real-Time Settlement Indicator	False		
FUND DETAILS		PARTICIPANT DETAILS			
10	881759	AM RIC	SYNCOMP294X	LC BIC	SYNCOMP 195X
Name	Fidelity China Fund 1759		S-y n. Comp. (294).		S-y n.Comp.(105).
		Investor ID	200276		8000026
		GC BIC		Counterparty - EP (BIC/ Name/ LEI)	DTCCSELLXXX
		GC Name		Counterparty - CP CCASS ID	C00016
		GC's Account at LC		CP's Account at CCASS	
		EP's Account at CP	123456	_	

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

The re-approval process is the same as approval.



HKEX Synapse						🗖 12 April 2023 @ symuat143 symuat143 👻 💙
ack Sottlement Instruction Details Trade	ID: 000000075619082					Reject App
Y SETTLEMENT DETAILS SETTLE	MENT STATUS SI HEALTH CHEC	K TRANSACTION REFERE	ENCES AND LIFECYCLE			
uccessfully Rejected						
SI STATUS						
LC MAKER: × REJECTED	LC CHECKER: × REJECTED	GC APPI	ROVED: -	CP APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Reason:	Reason:	Reason:		Reason:	Reason:	Reason:
Invalid Link [INVL]	Invalid Link [INVL]	NA		NA	NA	NA

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

The Power of C	Synapse							aaa							ti 127	kpril 2023	synuat143 s	ynuat143 👻
	Dashboard		Settlement	Instructions				Funds		Relationships		M	arket Dula				Reports	
ttlement Ins	tructions																	
ETTLEME	NTINSTRUCT	IONS	11	7	0	6	7										Q Seard	Generate
			Proces	ssing Unmat	ched Matcheo	5 Settled	Cancelled										2021-0	16-05
IS TYPE ^ *	ISIN * *	QUANTITY	SETTLEMENT CURRENT	CY 6 T	SETTLEMEN	T AMOUNT		TYPE	PAYMENT MODE ^ *	GC ACCOUNT AT LC 1	CP CCASS ID **	SPSA ^ *	TRADE ID **	GC ^ *	LC ^ T	CPAT	STATUS ^ *	
n	CNE100003059	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2231094155771021	-	-	-		DETAILS
TI	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000001075819082	-	×	-		DETAILS
m	CNE100003059	2,102	CNY		4,065,977.07			DEU	DVP	444111	C00016	80000001	000000075819083	-	-	-		DETAILS
	CNE100003059	2,231	CNY		4,065,977.07			DEU	DVP	762231	801110	80000001	2231994155771021	-	-	-		DETAILS
n	CNE100003059	2,102	CNY		4,065,977.07			DELI	DVP	444111	C00016	80000001	000001075819084	-	-	-		DETAIL
1	CNE100003039	2,102	CNY		4,065,977.07			DEU	DVP	444111	C00016	80000001	000000075819085	-	-	-		DETAIL
	CNE100003059	29,625	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	-	-	-		DETAIL
п	CNE100003055	92,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034101011076672	~	~	-	Setted	DETAIL
	CNE100003059	29,627	CNY		4,065,977.07			DELL	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAIL
m	CNE100003059	92,200	CNY		4,065,977.07			DELI	DVP	762734	C00016	80000001	2034201011076672	~	~	-	Settled	DETAILS
1	CNE100003039	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00016	80000001	2962094155771021	-	-	-		DETAILS
	CNE100003039	2,102	CNY		4,065,977.07			DEU	DVP	762458	B01110	80000001	000000758199940	-	-	-		DETAILS
	CNE100003038	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAILS
	CNE100003059	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	~	~	-	Unmatched	DETAILS
	CNE100003039	29,623	CNY		4,005,977.07			DEU	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Unmatched	DETAIL
	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	1	-	Unmatched	DETAIL
	CNE100003059	29,624	CNY		4,065,977.07			DELI	DVP	762231	801110	80000001	2119994155771021	~	×	-	Unmatched	DETAILS
	CNE100003059	92,200	CNY		4,065,977.07			RECE	DVP	764743	B01110	80000001	7438768034952118	1	1	-	Unmatched	DETAILS
	CNE100003059	29,621	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS
	CNE100003039	29,622	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS
	CNE100003059	29,624	CNY		4,065,977.07			DEU	DVP	762231	B01110	80000001	2119994155771021	~	1	-	Cancelled	DETAILS
	CNE100003038	29,623	CNY		4,065,977.07			DEU	DVP	762231	801110	80000001	2119994155771021	~	~	-	Cancelled	DETAILS
	CNE100003059	29,626	CNY		4,065,977.07			DELI	DVP	762231	B01110	80000001	2962994155771021	~	×	×	Settled	DETAIL
	CNE100003039	29,627	CNY		4,065,977.07			DEU	DVP	762231	C00016	80000001	2962094155771021	~	~	~	Cancelled	DETAILS
	CNE100003059	29,627	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2962694155771021	~	×	~	Cancelled	DETAILS
1	CNE100003039	22,312	CNY		4,065,977.07			DELI	DVP	762231	C00016	80000001	2234094155771021	×	~	~	Settled	DETAILS
	CNE100003059	29,625	CNY		4,065,977.07			DELI	DVP Previous < > N	762231	B01110	80000001	2119994155771021	1	1	-	Unmatched	DETAILS

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



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

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

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

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



- 1. Since the LC Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
- 2. LC Transaction Balance Input Only User can see the Rejection is rejected by LC Transaction Balance Input Authorise Users on Settlement Status page.
- 3. On SI List View, the icon will change from 'O' to '-' under LC column as the process needs to start again from LC Transaction Balance Input Only User. The LC Transaction Balance Input Only User can then re-approve or re-reject the rejected SSTI. The re-approval process is the same as approval, while the re-reject process is the same as rejection.

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



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

#### 7.4.2 Sell Side

# 7.4.2.1 Exchange Participant (EP)

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

HKEX Syn The Power of Connect				🗎 22 Augus	t 2022 🕃 synuat221 synuat221 🧹 🚶
KEY SETTLEMENT D	ETAILS SETTLEMENT STATUS SI F	HEALTH CHECK TRANSACTION REF	ERENCES AND LIFECYCLE		
INANCIAL INSTRUM	IENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE10000305	9 Depository BIC	XHKCHKH1XXX	Trade Date	2021-06-
Local Code	9398	6 Quantity	92,200	Туре	DE
Name	GIGADEVICE SEMICONDUCTOR(BEIJING) IN	Settlement Date	2021-06-04	Payment	ים
		Settlement Currency	CNY	Deal Price Currency	ci
		Settlement Amount	4,065,977.07	Deal Price	44.
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNY	Currency To Sell	u
		Settled Amount	4,065,977.07	FX Cancellation	ER
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAI	LS				
EP BIC	SGSEPAAAXX	c			
EP Name	SynComp53	2			
EP's Account at CP	90054	6			
CP BIC	DTCCDEAGXX	K			
CP Name	SynComp54	1			

# 7.4.2.2 Clearing Participant (CP)

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



Approval by CP Transaction Balance Input Only User:

- 1. The CP Transaction Balance Input Only User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- The CP Transaction Balance Input Only User then navigates to the Settlement Instructions List view and is informed that there is an SSTI pending their approval by a '—' in the CP column.

HKEX The Power of (	Synapse Connectivity	9												E 12 A	pril 202	I ⊕ synual281 synu	ual281 - 🗙
	Dashboard		Settlement Inst	ructions				Accounts		Relationships	Marl	et Data				Reports	
ettlement in	tructions																
ETTLEME	NT INSTRUC	TIONS	11 Processing	<b>O</b> Unmatched	0 Matche	3 ed Settled	2 Cancell	ed								Q Search	Generate Rep
NS TYPE - T	ISIN 4 T	QUANTITY	SETTLEMENT CURRENCY - *	SETTLEME	TANCUS		TYPE	PAYMENT MODE - *	EP'S ACCOUNT AT CP - T	CP'S ACCOUNT AT CCASS 47	LC CCASS ID **	TRADE ID **	CP-1			STATUS	~
STI	CNE1000030.59	22,312	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624102231	-	-	-		DETAILS >
	CNE100003059	2,231	CNV	4,065,977.03	r		RECE	DVP	900546	11	C00015	6855324624182231	-	-	-		DETAILS
STI	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341183	-	-	-		DETAILS
STI	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341184	-	-	-		DETAILS
STI	CNE100003059	2,102	CNV	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341185	-	-	-		DETAILS
TI	CNE100003059	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	E01110	6855324624129627	-	-	-		DETAILS
m	CNE100003059	29,627	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624129628	-	-	-		DETAILS
STI	CNE100003059	92,200	CNY	4,665,977.07			RECE	DVP	900546	11	B01110	4000000557582035	~	-	-	Reject by CCASS	DETAILS
	CNE100003059	29,626	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324624129626	-	~	~		DETAILS
	CNE100003059	29,626	CNY	4,065,977.07			RECE	DVP	900546	11	C00015	6855324604129526	1	1	~	Settled	DETAILS
n	CNE100003059	29,627	CNV	4,065,977.03			RECE	DVP	900546	11	E01110	6655324604129627	~	~	~	Cancelled	DETAILS
n	CNE100003059	29,627	CNV	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604129628	1	1	1	Cancelled	DETAILS
TI	CNE100003059	22,312	CNY	4,085,977.07			RECE	DVP	900546	11	B01110	6855324604102231	~	~	~	Settled	DETAILS
	CNE100003059	2,231	CNY	4,065,977.07			RECE	DVP	900546	11	C00016	6855324604182231	~	1	~	Settled	DETAILS
8		2.102	CNY	4.065.977.07			RECE	DVP	2000001	900113	C00016	000000066341182	-	-	×		DETAILS
a STI STI	CNE1000030.59 CNE1000030.59	2,102	CNY	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341181		-			

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

HKEX Synapse The Power of Connectivity				🗇 12 April 2023 🏵 synual/281 synual/281 🗸 🎽
eBack Settlement Instruction Details Trade ID: 000000056341183				Reject Approve
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRAN	SACTION REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS		TRADE DETAILS	
ISIN CNE100	03059 Depository BIC	XHKOHKH1XXX	Trade Date	2021-06-05
Local Code	93936 Quantity	2,102	Type	RECE
Name GIGADEVICE SEMICONDUCTOR(BEUIN	G) INC Settlement Date	2021-06-06	Payment	DVF
	Settlement Currency	CNY	Deal Price Currency	CN
	Settlement Amount	4,065,977.07	Deal Price	44.00
	Effective Settlement Date		Currency To Buy	
	Settled Currency		Currency To Sell	USE
	Settled Amount	4065977.07 HKD	FX Cancellation	
	Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS				
EP BIC DTCCSE	LLXXX			
EP Name SynCo	mp531			
EP's Account at CP 2	00001			
CP BIC DTCCDE/	COOK COOK			
CP Name SynCo	mp541			
CP's Account at CCASS	00113			
Counterparty - AM (BIC/ Name/ LEI)				
Counterparty - LC CCASS ID	00016			
LC's Account at CCASS				
GC's account at LC	40002			

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

HKEX Synapse The Power of Connectivity.					🖻 12 April 2023 @ synual281 synual281 - 🂢
Back Settlement Instruction Details Trade ID:	000000056341183				Roject Muleur
EY SETTLEMENT DETAILS SETTLEMENT	T STATUS SI HEALTH CHECK TRANSACTI	ON REFERENCES AND LIFECYCLE			
INANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
SIN	CNE100002059	Depository BIC	2018CHINH2008		2021-06
Local Code	93936	Quantity	2,102	Туре	RE
Name	GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date	2021-06-05	Payment	0
		Settlement Currency	CNV	Deal Price Currency	c
		Settlement Amount	4,065,077.07	Deal Price	4
		Effective Settlement Date		Currency To Buy	
		Settled Currency	CNV	Currency To Sell	
		A Settled Amount	4065977.07 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
ARTICIPANT DETAILS					
EP BIC	DTCCSELLXXX				
EP Name	SunComp531				
P's Account at CP	2001001				
CP BKC	DTCCDEAGXXX				
PName	SynComp541				
P's Account at CCASS	900113				
Counterparty - AM (BIC/ Name/ LEI)					
ounterparty - LC CCASS ID	C03016				
LC's Account at CCASS					
	June e come o accid				
C's account at LC	141002				

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

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

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

1. The CP Transaction Balance Input Authorise User logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

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

	Dashboard													🗖 12 Ap	nii 2023	aynual283 synu	1283 - 💢
	Cecilicatio		Settlement Inst	ructions				Accounts		Relationships	Mark	et Data				Reports	
ettlement Instru	uctions																
BETTLEMEN		TIONS	11	0	0	3	2									Q Search	Generate Repor
			Processing	g Unmatched	Matche	d Settled	Cancelle	d								2021-06-05	
INS TYPE 1 T	ISIN 6 T	QUANTITY * T	SETTLEMENT CURRENCY 17	SETTLEMED		T A T	TYPE	PAYMENT MODE * T	EP'S ACCOUNT AT CP 17	CP'S ACCOUNT AT CCASS * *	LC CCASSID 17	TRADE ID & T	CP 1 T	GC ^ =	LC 1 T	STATUS * T	
sti g	CNE100003059	22,312	CNY	4,085,977.07			RECE	DVP	900546	11	B01110	6855324624102231	-	-	-		DETAILS >
	CNE100003059	2,231	CNY	4,085,977.07			RECE	DVP	900546	11	C00016	6855324624182231	-	-	-		DETAILS >
SSTI C	CNE1000030 S9	2,102	CNY	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341183	•	-	-		DETAILS >
SSTI C	CNE100003059	2,102	CNY	4,065,977.01			RECE	DVP	2000001	500113	C00016	0000000056341184	-	-	-		DETAILS >
SSTI 9	CNE100000059	2,102	CNY	4,065,977.07			RECE	DVP	2000001	900113	C00016	000000056341185	-	-	-		DETAILS >
STI 0	CNE100003059	29,627	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624129627	-	-	-		DETAILS >
sti g	CNE100003059	29,627	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324624129628	-	-	-		DETAILS
	CNE100003059	92,200	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	40100005575B2035	~	-	-	Reject by CCASS	DETAILS >
si <u>c</u>	CNE100003059	29,626	CNY	4,085,977.07			RECE	DVP	900546	11	C00016	6855324624129626	-	~	~		DETAILS >
	CNE100003059	29,626	CNY	4,085,977.07			RECE	DVP	900546	11	C00016	6855324604129626	~	~	1	Settled	DETAILS >
sti g	CNE100003059	29,627	CNY	4,085,977.07			RECE	DVP	900546	11	B01110	6855324604129627	~	~	~	Cancelled	DETAILS >
	CNE100003059	29,627	CNY	4,085,977.07			RECE	DVP	900546	11	B01110	6855324604129628	~	~	~	Cancelled	DETAILS
sn g	CNE100003059	22,312	CNY	4,065,977.07			RECE	DVP	900546	11	B01110	6855324604102231	~	~	~	Settled	DETAILS
si g	CNE1000030 S9	2,231	CNY	4,065,977.01			RECE	DVP	900546	11	C00016	6855324604182231	~	~	~	Settled	DETAILS
55TI <u>C</u>	CNE100003059	2,102	CNY	4,065,977.07			RECE	DVP	2000001	500113	C00016	000000056341152	-	-	×		DETAILS >
SSTI 0	CNE100003059	2,102	CNY	4,065,977.07			RECE	DVP	2000001	500113	C00016	000000056341181	-	-	~		DETAILS

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

RANCALAL INSTRUMENT DELTAILS     RETURNENT DELTAILS     RANCE DETAILS       10%     0.00000000000000000000000000000000000	Reck Sottlement Instruction Details Trade ID: Y SETTLEMENT DETAILS SETTLEMENT		ION REFERENCES AND LIFECYCLE			Reject Ap
tion Cols New GOLECOC SELECCOC CONCENTRY Selection Color Selection Colo	NANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
New     00102002 5500000010000200000000000000000	an l	CHE100003053	Depository BIC	XHICHINIDOX	Trade Date	202
Settingers Aussis     Settingers Aussis     Settingers Aussis     Settingers Aussis       Settingers August     Settingers August     Settingers August     Settingers August       Settingers August     Settingers August     Settingers August <td>scal Code</td> <td>93965</td> <td>Quantity</td> <td>2,102</td> <td>Туре</td> <td></td>	scal Code	93965	Quantity	2,102	Туре	
Internet Note: 1     Internet Note: 1     Internet Note: 1       Internet Note: 1     Internet Note: 1     Internet Note: 1       NUTCIONET DETAILS     Internet Note: 1     Internet Note: 1       Pice     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet Note: 1     Internet Note: 1       Pice Note: 1     Internet N	ante	GIGADEVICE SEMICONDUCTOR(BEIJING) INC	Settlement Date	2821-06-06	Payment	
Bit State Carriery 0 By         Currenty 0 By           A Mich Anniel         ALBSZY 2000           A Mich Anniel         ALBSZY 2000           A Mich Anniel         ALBSZY 2000           Parke         000000000000000000000000000000000000			Settlement Currency	ONY	Deal Price Currency	
Bit State Carriery 0 By         Currenty 0 By           A Mich Anniel         ALBSZY 2000           A Mich Anniel         ALBSZY 2000           A Mich Anniel         ALBSZY 2000           Parke         000000000000000000000000000000000000			Settlement Amount	4.055.977.07	Deal Price	
Internet         Control to date           REFERENCE         Status data         File         Status data         File         Status data         File         File<						
A find matrix     4.537.77     7 C constantion       Micro Matrix     Micro Matrix     Micro Matrix       Micro Matrix     9000000000000000000000000000000000000				247		
Name         Option         Option <td></td> <td></td> <td></td> <td></td> <td></td> <td></td>						
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BC         010028LLXXX           Name & Growman	DICIDANT DETAILS		Real-Time Sealement Indicator	Falle		
Nume         Späcensets           Viscenset dFO         Social del Statustica           Viscenset dFO         General           Viscenset dFO         General           Viscenset dFO         Social del Statustica           Social del Statustica         Social del Statustica           Social del Statustica         Tabalance for Represences And LifeCryCle           Statustica         Social del Statustica           Statust	RITCIPANT DETAILS					
Name         Spicewatt           Vicewatt d'O         30000           Seit         01/00000000000000000000000000000000000	BIC .	DTOCEELLING				
Name         20001           05         30001           Name         3000000000000000000000000000000000000						
BC MUNICE CONCENSION Name BCARAS Name BCAR						
Name         Submedia           Values of CAS         0018           Interpret - CCASS         0018           IC Autorit of CAS         1           Menore of CASS         1 <t< td=""><td></td><td></td><td></td><td></td><td></td><td></td></t<>						
Name         10000           Name         1000000000000000000000000000000000000						
Cr. Macanet al COASE         Coases						
winkings // LC 043.01         0088           * Nonexer of CASA.01         16002		\$00113				
ICA Account at CCASS INFORMENT 41 C INFORMENT 41 C INFORMENT 41 C INFORMENT 41 C INFORMENT 41 C INFORMATION CONTRACTOR CONTRACTOR REFERENCES AND LIFECTICLE INFORMATION CONTRACTOR REFERE						
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KEX Synapse         P1 12 April 2023 @ synue203 synue203           Prever of Committivity         © structure harbority           © Structure harbority         © Carabority harbority						
Software Instruction Databa Tanda ID: 00000000000000000000000000000000000						
Sedement Instruction Databa Tarde 10: 00000005311113     SetTLEMENT STATUS     Sintal In creacy     Transparting     SetTLEMENT STATUS     Sintal In creacy     Transparting     Status     Cases Status     Cases Status     Cases Status     Cases Status	KEX Synapse					ස් 12 April 2023 @ ඉණාක්ට203 ඉණාක්ට203 - 💡
ANDAY JERONG 51 STATUS OF MARER - APPROVED - COASS STATUS OF MARER - APPROVED - COASS STATUS OF MARER - APPROVED - COASS STATUS	Settlement Instruction Details Trade ID: 0					
SI STATUS OF MARKE - APPROVED - CCASS STATUS OF MARKE - APPROVED - CCASS STATUS OF CASS STATUS OF CASS STATUS	SETTLEMENT DETAILS SETTLEMENT	STATUS STHEALTH CHECK TRANSACTIO	N REFERENCES AND LIFECYCLE			
OF INVER CCASS STATUE CARCELLATION STATUE						
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	CR MAKED. / ARRENTED	CP CHECKER: V APPROVED	GC APPROVED: -	LC APPROVED:	CCASS STATUS:	CANCELLATION STATUS:
Notation: Netation: Reason: Reason: Reason: Reason: Reason:						

#### Rejection by CP Transaction Balance Input Only User;

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



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

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

HKEX Synapse The Power of Connectivity.					🖆 12 April 2023 🏵 synuat281 synuat281 🗟 🎽
Back Settlement Instruction Details Trade ID: 0	00000056341184				Reject Augurou
KEY SETTLEMENT DETAILS SETTLEMENT S	STATUS SI HEALTH CHECK TRANSACT	ION REFERENCES AND LIFECYCLE			
FINANCIAL INSTRUMENT DETAILS		SETTLEMENT DETAILS		TRADE DETAILS	
ISIN	CNE100003039	Depository BIC	2018KCH80H1300K	Trade Date	2021-05-
Local Code	93905	Quantity	2,102	Type	REG
Name	GIGADEVICE SEMICONDUCTOR(BELING) INC	Settlement Date	2021-06-05	Payment	D
		Settlement Currency		Deal Price Currency	cr
		Settlement Amount	4,065,977.07	Deal Price	44.
		Effective Settlement Date		Currency To Bay	
		Settled Currency	CNY	Currency To Sell	US
		A Settled Amount	4065977.07 HKD	FX Cancellation	
		Real-Time Settlement Indicator	False		
PARTICIPANT DETAILS					
EP DIC	DTCCSELLXXX				
EP Name	SynComp531				
EP's Account at CP	2030301				
CP BIC	DTCCDEAGXXX				
CP Name	SynComp541				
CP's Account at CCASS	900113				
Counterparty - AM (BIC/ Name/ LEI)					
Counterparty - LC CCASS ID	C00016				
LC's Account at CCASS					
GC's account at LC	140002				

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

HKEX Synapse The Power of Connectivity.			
			Reject Appr
EY SETTLEMENT DETAILS SETTLEMENT STATU	S SEHEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE		
INANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS	
SIN	REJECTION CODE:		2021-0
ocal Code Iame	Please select the code corresponding to your reason for rejection of this Settlement Instruction:		п
	Invalid Investor Party (INVE)		
		Cancel Sebmit	
ARTICIPANT DETAILS			
P BIC			
P Name			
P's Account at CP IP BIC			
P Nome			
P's Account at CCASS ounterparty - AM (BIC/ Nome/ LEE)			
ounterparty - LC CCASS ID			
LC's Account at CCASS			
C's account at LC			

SETTLEMENT DETAILS	T STATUS SI HEALTH CHECK T	RANSACTION REFERENCES AND LIFECYCLE	50		
costully Rejocted					
SI STATUS					
CP MAKER: × REJECTED	CP CHECKER:	GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
Research	Reason:	Resson:	Reason:	Reason:	Resson:
Invalid Investor Party [INVE]	NA	NA	NA	NA	NA
		1			

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

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

The Power of Cr	Synapse	3												■ 12/	April 202	3 @ synual283 synu	a1283 - 💢
	Dashboard		Settlement Ins	tructions				Accounts		Relationships	Mark	et Data				Reports	
ettlement Inst	tructions																
ETTLEME		TIONS	11	0	0	3	2									Q. Search	Generate Repo
			Processin	g Unmatche	d Matche	Settle	d Cancell	ed								2021-06-05	5
NS TYPE **	ISIN 6 *	QUANTITY **	SETTLEMENT CURRENCY **		INT AMOUN		TYPE * *	PAYMENT MODE	EP'S ACCOUNT AT CP **	CP'S ACCOUNT AT CCASS® *	LC CCASS ID * *	TRADE ID * *	CP	* GC **	LC++	STATUS **	
ITI	CNE100003059	22,312	CNV	4,065,977.0			RECE	DVP	900546	11	B01110	6855324624102231	-	-	-		OCTAILS )
	CNE100003039	2,231	CRY	4,065,977.0			RECE	DVP	900546	11	C80016	6855324624182231	-	-	-		DETAILS >
STI	CNE100003059	2,102	Chrv	4,065,977.0			RECE	DVP	2000001	900113	C00016	000000056341154		-	-		DETAILS
STI	CNE100003059	2,102	CNY	4,065,977.0			RECE	DVP	2000001	900113	C00016	000000056341105	-	-	-		DETAILS
TI	CNE100003059	29,627	CRY	4,065,9771			RECE	DVP	900546	11	B01110	6855324624129627	-	-	-		DETAILS
TI	CNE100003059	29,627	CIVY	4,065,977.0			RECE	DVP	909546	11	B01110	6855324624129628	-	-	-		DETAILS >
STI	CNE100003059	92,200	CNY	4,065,977.1			RECE	OVP	900546	11	B01110	40000005575B2035	1	5	7	Reject by CCASS	DETAILS
	CNE100003059	29,626	CRY	4,065,977.0			RECE	DVP	900546	11	C00016	6855324624129626	-	4	4		DETAILS >
1	CNE100003059	29.626	CNY	4,065,977.1			RECE	DVP	900546	11	C00016	6855324604129626	~	~	Y .	Settled	DETAILS >
π	CNE100003059	29,627	CNY	4,065,977.0			RECE	DVP	900546	11	B01110	6855324604129627	1	~	1	Cancelled	DETAILS >
TI	CNE100003059	29,627	CRY	4,065,977.0			RECE	DVP	900546	11	B01110	6855324604129628	~	~	~	Cancelled	DETAILS >
TI .	CNE100003059	22,312	CNV	4,065,977.1			RECE	DVP	900546	11	B01110	6855324604102231	1	4	1	Settled	DETAILS )
1	CNE100003059	2,231	CNY	4,065,977.0			RECE	DVP	900546	11	C00016	6855324604182231	1	1	~	Settled	DETAILS >
	CNE100003039	2,102	CNY	4,065,977.0	17		RECE	DVP	2000001	900113	C00016	000000056341182	-	-	×		DETAILS 3
ISTN ISTN	CNE1000030 59	2.102	CNV	4.065 977.0			RECE	DVP	2000001	900113	C00016	0000000056341181					DETAILS

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

Back Settlement Instruction Details Trade ID: 000000055341184      KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACT			
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACT			Reject Approve
FINANCIAL INSTRUMENT DETAILS	SETTLEMENT DETAILS	TRADE DETAILS	
ISN REJECTION CODE: Load Case Flasts select the code constronding to your real availat livestar Party (INVE)	son for rejection of this Settlement Instruction:		2021-06-05 RECE DVP CRY
PARTICIPANT DETAILS PROTOCOLOGY PS Nom (PS Automatic CD) (P Automatic CD)		Const	448 300

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

The re-approval process is the same as approval.

	KEX Synapse				•	🗂 12 April 2023 🏵 symuat283 symuat283 🕤 🔀
+ Back	Settlement Instruction Details Trade ID: 000	0000056341184				Reject Approve
KEY S	ETTLEMENT DETAILS SETTLEMENT ST	ATUS SI HEALTH CHECK TRANSACTION	N REFERENCES AND LIFECYCLE			
© Succe	safully Rejected					
	SI STATUS					
	CP MAKER: X REJECTED	CP CHECKER: X REJECTED	GC APPROVED: -	LC APPROVED: -	CCASS STATUS:	CANCELLATION STATUS:
	Reson:	Reason:	Reason:	Reason:	Reserve	Reason:
	Invalid Investor Party [INVE]	Invalid Investor Party [INVE]	NA	NA	NA	NA
			1			I

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

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



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

HKEX Synapse The Power of Connectivity.					🖰 12 April 2023 🛞 symual283 symual283 🕤 🔀			
Back Settlement Instruction Details Trade ID: 0000	000056341182				Reject Approve			
KEY SETTLEMENT DETAILS SETTLEMENT STATUS SI HEALTH CHECK TRANSACTION REFERENCES AND LIFECYCLE								
B Rejected to Maker								
SI STATUS								
CP MAKER: PENDING AMENDMENT	CP CHECKER: REJECTED TO MAKER	GC APPROVED:	LC APPROVED: × REJECTED	CCASS STATUS:	CANCELLATION STATUS:			
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:			
NA	NA	NA	Invalid Link (INVL)	NA	NA			

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

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



- 1. Since the CP Transaction Balance Input Authorise User selects a different rejection reason than the Input Only User, the rejection is not executed, and the SSTI process effectively starts over.
- 2. CP Transaction Balance Input Only User can see the Rejection is rejected by CP Transaction Balance Input Authorise Users on Settlement Status page.
| HKEX Synapse                                    |                                |                               |                         |               | 🗂 12 April 2023 🏵 synual283 synual283 👻 |
|---|--------------------------------|-------------------------------|-------------------------|---------------|---|
| Back Settlement Instruction Details Trade ID: ( | 100000056341182                |                               |                         |               | Reject Ap                               |
| Y SETTLEMENT DETAILS SETTLEMENT                 | STATUS SI HEALTH CHECK TRANSAC | TION REFERENCES AND LIFECYCLE |                         |               |   |
| jected to Maker                                 |                                |                               |                         |               |   |
| SI STATUS                                       |                                |                               |                         |               |   |
| CP MAKER: PENDING AMENDMENT                     | CP CHECKER: REJECTED TO MAKER  | GC APPROVED: -                | LC APPROVED: × REJECTED | CCASS STATUS: | CANCELLATION STATUS:                    |
| Reason:   | Reason:                        | Reason:                       | Reason:                 | Reason:       | Reason:                                 |
| NA  | NA                             | NA                            | Invalid Link (INVL)     | NA            | NA                                      |
|   |                                |                               |                         |               |   |

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

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



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

# 7.5 Settlement Status

The Settlement Status tab within the Settlement Instruction Details View shows the status of where the instruction is across the various market participants.

# 7.5.1 Buy Side

## 7.5.1.1 Asset Managers (AM)

HP The F	KEX Synapse				•	🗇 12 April 2023 🏵 synuat001 synuat001 🕤 💙	c
+ Back	Settlement Instruction Details Trade ID: 22319	94155771021					
KEY SI	ETTLEMENT DETAILS SETTLEMENT STAT	TUS SI HEALTH CHECK TRANSACTION	REFERENCES AND LIFECYCLE				_
	SI STATUS						
	GC APPROVED: ~ APPROVED	LC APPROVED: < APPROVED	CP APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:		
	Reason:	Reason:	Reason:	Reason:	Reason:		
	NA	NA	NA	NA	NA		

Field	Description
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
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 - PREA – matched – settlement currency unmatch - DSEC – unmatched – settlement currency unmatch - DQUA – unmatched – stock code/ISIN unmatch - DQUA – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatch - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatch - DMON – unmatched – money value unmatch - DDAT – unmatched – settlement date unmatch - DELN – unmatched – transaction direction unmatch - SETD – Settled
Reason	Indicated reason for CCASS unmatched status: - NCRR – settlement currency unmatch + description - DSEC – stock code/ISIN unmatch + description - DQUA – quantity unmatch + description - CMIS – no possible matching SI found + description - OTHR – other + description - FRAP – payment instruction unmatch + description - PODU – possible matching SI but not earmarked as pairs + description - SAFE – client A/C no. unmatch + description - DMON – money value unmatch + description

Field	Description
	<ul> <li>DDAT – settlement date unmatch + description</li> <li>DELN – transaction direction unmatch + description</li> </ul>
	Note: "Description" next to unmatched status refers to the value provided by counterparty.
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.5.1.2 Global Custodian (GC)

HKEX Synapse The Power of Connecting.				n 12 April 2023 ⊕ Synual071 Synual07		
+Back Settlement Instruction Details Trade ID:	2962994155771021				Янунскі Аврионе	
KEY SETTLEMENT DETAILS SETTLEMEN	IT STATUS SI HEALTH CHECK TRANS/	CTION REFERENCES AND LIFECYCLE				
SI STATUS						
GC MAKER: ~ APPROVED	GC CHECKER: V APPROVED	LC APPROVED: ~ APPROVED	CP APPROVED: < APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:	
Reason:	Reason:	Reason:	Reason:	Reason:	Reason:	
NA	NA	NA	NA	NA	NA	

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
СР	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	<ul> <li>Indicated reason for CCASS status:</li> <li>CSUB – cancelled – revoked SI by counterparty</li> <li>CANS – cancelled – SI/STI purged</li> <li>CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI</li> <li>MTCH – matched</li> <li>CYCL – matched – payment validated</li> <li>CAIS – pending for transfer</li> <li>CVAL – matched – RDP shares on hold</li> <li>PREA – matched – matched on hold or counterparty instruction on hold</li> <li>NCRR – unmatched – settlement currency unmatch</li> <li>DSEC – unmatched – quantity unmatch</li> <li>CMIS – unmatched – no possible matching SI found</li> <li>OTHR – unmatched – other</li> <li>FRAP – unmatched – payment instruction unmatch</li> <li>PODU – unmatched – possible matching SI but not earmarked as pairs</li> <li>SAFE – unmatched – client A/C no. unmatch</li> <li>DMON – unmatched – money value unmatch</li> </ul>

Field	Description
	- DDAT – unmatched – settlement date unmatch
	- DELN – unmatched – transaction direction unmatch
	- SETD - Settled
Reason	Indicated reason for CCASS unmatched status:
	- NCRR – settlement currency unmatch + description
	<ul> <li>DSEC – stock code/ISIN unmatch + description</li> </ul>
	- DQUA – quantity unmatch + description
	- CMIS – no possible matching SI found + description
	- OTHR – other + description
	- FRAP – payment instruction unmatch + description
	- PODU – possible matching SI but not earmarked as pairs + description
	- SAFE – client A/C no. unmatch + description
	- DMON – money value unmatch + description
	- DDAT – settlement date unmatch + description
	- DELN – transaction direction unmatch + description
	Note: "Description" next to unmatched status refers to the value provided by counterparty.
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.5.1.3 Local Custodian (LC)

HKEX Synapse The Power of Connectivity.	1					🗂 12.April 2023 🏵 synuatti41 synuatti41 🗸 🄰
Back Settlement Instruction De	tails Trade ID: 29629	4155771021				Print Appr
EY SETTLEMENT DETAILS	SETTLEMENT STAT	US SI HEALTH CHECK 1	RANSACTION REFERENCES AND LIF	FECYCLE		
SI STATUS						
LC MAKER: ~ APPROVED		LC CHECKER: V APPROVED	GC APPROVED: ~ APPRO	WED CP APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
Reason:		Reason:	Reason:	Reason:	Reason:	Reason:
NA		NA	NA	NA	NA	NA

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
СР	Indication that CP has approved or rejected the instruction
Reason	Reason for CP rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI

Field	Description
	- MTCH – matched
	- CYCL – matched – payment validated
	- CAIS – pending for transfer
	- CVAL – matched – RDP shares on hold
	- PREA – matched – matched on hold or counterparty instruction on hold
	- NCRR – unmatched – settlement currency unmatch
	- DSEC – unmatched – stock code/ISIN unmatch
	- DQUA – unmatched – quantity unmatch
	- CMIS – unmatched – no possible matching SI found
	- OTHR – unmatched – other
	- FRAP – unmatched – payment instruction unmatch
	- PODU – unmatched – possible matching SI but not earmarked as pairs
	- SAFE – unmatched – client A/C no. unmatch
	- DMON – unmatched – money value unmatch
	- DDAT – unmatched – settlement date unmatch
	- DELN – unmatched – transaction direction unmatch
	- SETD - Settled
Reason	Indicated reason for CCASS unmatched status:
	- NCRR – settlement currency unmatch + description
	- DSEC – stock code/ISIN unmatch + description
	- DQUA – quantity unmatch + description
	- CMIS – no possible matching SI found + description
	- OTHR – other + description
	- FRAP – payment instruction unmatch + description
	- PODU – possible matching SI but not earmarked as pairs + description
	- SAFE – client A/C no. unmatch + description
	- DMON – money value unmatch + description
	- DDAT – settlement date unmatch + description
	- DELN – transaction direction unmatch + description
	Note: "Description" next to unmatched status refers to the value provided by counterparty.
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.5.2 Sell Side

# 7.5.2.1 Exchange Participant (EP)

H	KEX Synapse Power of Connectivity					🖿 12 April 2023 ④ synual211 synual211 🗸 💢
+ Bad	K Settlement Instruction Details Trade ID: 68553	24604182231				
KEY 8	SETTLEMENT DETAILS SETTLEMENT STA	TUS SI HEALTH CHECK TRANSACTION	N REFERENCES AND LIFECYCLE			
	SI STATUS					
	CP APPROVED: < APPROVED	GC APPROVED: ~ APPROVED	LC APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:	
	Reason:	Reason:	Reason:	Reason:	Reason:	
	NA	NA	NA	NA	NA	

Field	Description
СР	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	Indicated reason for CCASS status:         - CSUB - cancelled - revoked SI by counterparty         - CANS - cancelled - SI/STI purged         - CANI - cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI         - MTCH - matched         - CYCL - matched - payment validated         - CAIS - pending for transfer         - CVAL - matched - RDP shares on hold         - PREA - matched - matched on hold or counterparty instruction on hold         - NCRR - unmatched - settlement currency unmatch         - DSEC - unmatched - quantity unmatch         - CMIS - unmatched - no possible matching SI found         - OTHR - unmatched - payment instruction unmatch         - PCDU - unmatched - possible matching SI but not earmarked as pairs         - SAFE - unmatched - leient A/C no. unmatch         - DDUU - unmatched - money value unmatch         - DDAT - unmatched - settlement date unmatch         - DDAT - unmatched - settlement date unmatch         - DDAT - unmatched - settlement date unmatch         - DELN - unmatched - settlement date unmatch
Reason	Indicated reason for CCASS unmatched status: - NCRR – settlement currency unmatch + description - DSEC – stock code/ISIN unmatch + description - DQUA – quantity unmatch + description - CMIS – no possible matching SI found + description - OTHR – other + description - FRAP – payment instruction unmatch + description - FRAP – payment instruction unmatch + description - PODU – possible matching SI but not earmarked as pairs + description - SAFE – client A/C no. unmatch + description - DMON – money value unmatch + description - DDAT – settlement date unmatch + description - DELN – transaction direction unmatch + description
Cancellation Status	counterparty. Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable
1000011	

# 7.5.2.2 Clearing Participant (CP)

HKEX Synapse The Power of Connectivity.					🗇 12 April 2023 @ synual281 synual281 👻
Back Settlement Instruction Details Trade IE	: 6855324604102231				Rest A
EY SETTLEMENT DETAILS SETTLEME	NT STATUS SI HEALTH CHECK TRANSA	CTION REFERENCES AND LIFECYCLE			
SI STATUS					
CP MAKER: ~ APPROVED	CP CHECKER: ~ APPROVED	GC APPROVED: ~ APPROVED	LC APPROVED: ~ APPROVED	CCASS STATUS: SETTLED	CANCELLATION STATUS:
Reason:	Reason:	Reason:	Reason:	Reasons	Reason:
NA	NA	NA	NA	NA	NA

Field	Description
CP Maker	Indication that CP Transaction Balance Input Only User has approved or rejected the instruction or the instruction is pending amendment by CP Transaction Balance Input Only User
Reason	Reason for CP rejection input by CP Transaction Balance Input Only User
CP Checker	Indication that CP Transaction Balance Input Authorise User has approved or rejected the instruction or the instruction is rejected back to CP Transaction Balance Input Only User for amendment
Reason	Reason for CP rejection input by CP Transaction Balance Input Authorise User
GC	Indication that GC has approved or rejected the instruction
Reason	Reason for GC rejection
LC	Indication that LC has approved or rejected the instruction
Reason	Reason for LC rejection
CCASS Status	Indicated reason for CCASS status: - CSUB – cancelled – revoked SI by counterparty - CANS – cancelled – SI/STI purged - CANI – cancelled or revoked SI OR unmatched SI deleted OR cancelled for STI - MTCH – matched - CYCL – matched – payment validated - CAIS – pending for transfer - CVAL – matched – RDP shares on hold - PREA – matched – matched on hold or counterparty instruction on hold - NCRR – unmatched – settlement currency unmatch - DSEC – unmatched – stock code/ISIN unmatch - DQUA – unmatched – no possible matching SI found - OTHR – unmatched – other - FRAP – unmatched – payment instruction unmatch - PODU – unmatched – possible matching SI but not earmarked as pairs - SAFE – unmatched – client A/C no. unmatch - DMON – unmatched – money value unmatch - DDAT – unmatched – money value unmatch
Reason	<ul> <li>DELN – unmatched – transaction direction unmatch</li> <li>SETD - Settled</li> <li>Indicated reason for CCASS unmatched status:</li> <li>NCRR – settlement currency unmatch + description</li> <li>DSEC – stock code/ISIN unmatch + description</li> <li>DQUA – quantity unmatch + description</li> <li>CMIS – no possible matching SI found + description</li> <li>OTHR – other + description</li> </ul>

Field	Description
	- FRAP – payment instruction unmatch + description
	- PODU – possible matching SI but not earmarked as pairs + description
	<ul> <li>SAFE – client A/C no. unmatch + description</li> </ul>
	<ul> <li>DMON – money value unmatch + description</li> </ul>
	- DDAT – settlement date unmatch + description
	- DELN – transaction direction unmatch + description
	Note: "Description" next to unmatched status refers to the value provided by counterparty.
Cancellation Status	Indication that the instruction is cancelled by third party (CTHP)
Reason	Not Applicable

# 7.6 Health Check

Health Check is an additional business validation of settlement instructions that Synapse performs after receiving the settlement instruction (e.g., SI, STI, and SSTI) from DTCC. If the business validation results in non-fatal error(s), then Health Check will display the failure reason, but settlement instruction processing can still continue.

Health Check functionality is the same for both buy side and sell side participants. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from buy side participants.



1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

HKEX Synapse The Power of Connectivity.		🗖 19 August 20	22 🕃 synuat003 synuat003 🗸 💢
Dashboard Settlement Instruction	s Funds Relationships	Market Data	Reports
DASHBOARD			
SETTLEMENT INSTRUCTIONS®	FUND PROFILES + New Fund	NOTIFICATIONS	
5 Allocation Received	O Awaiting AM Checker Approval	Funds (6)	
3 Processing in Synapse	O Awaiting GC Approval	♠ Participants (0) PREVIEW	
1 Unmatched	0 Awaiting LC Approval	Relationships (0) PREVIEW	
0 Matched		CCASS Exceptions (0)	
1 Settled		SIS (132)	
O Cancelled			

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

The Power of C	Synaps	e												🗖 12 April 2023 🏵 synuet001 synuet001 🕤			2		
	Dashboar		5	ettlement in	structions			Funds			Relationships		Market Data				Reports		
ettlement Ins	tructions																		
ETTLEME	NT INSTRU	CTIONS		10	6	0	7	7									Q, Sec	arch Generate	e Re
				Processi	ing Unmatch	hed Matche	d Settled	Cancelled											
IS TYPE - T	FUND ID -	ISIN + 7			NT CURRENCY			ENT AMOUNT *		PAYMENT MODE	FUND ACCOUNT AT GC 1	EP BIC + T	TRADE ID - *			CRAT		1-06-05	-
IS I TPE - T	882231	CNE100003059	QUANTITY 4 * 22.312	CNY	NT CORRENUT		4.065.977		TYPE * *	DVP	542231	DTCCSELLXXX	2231094155771021	GC * *	LC **	Cp	51A105 ***	DETAILS	
	882231	CNE100003059	2.231	CNY			4.055.977		DELI	DVP	542231	DTCCSELLXXX	2231994155771021	-	-	-		DETAILS	
п	111444	CNE100003059	2.102	CNY			4 055 977		DELI	DVP	140001		000000075619035	-	-	-		PETAILS	
	882231	CNE100003059	29.625	CNY			4 055 977	07	DELL	DVP	542231		2119994155771021	-	-	-		DETAILS	
m	552734	CNE100003059	82,200	ONY			4 085 977		DELL	DVP	542734		2034100011076672	~	~	-	Setted	DETAILS	
1	882231	CNE100003059	29.627	CNY			4.055.977	07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS	
n	882231	CNE1000030.59	29.627	CNY			4.085.977	97	DELI	OVP	542231	DTCCSELLXXX	2962094155771021	-	-	-		DETAILS	
STI	552734	CNE100003059	92.200	CNY			4.055.977	07	DELI	DVP	542734		2034206011076672	~	~	-	Settled	DETAILS	ō,
	662231	CNE100003059	29.622	CNY			4.055.977	97	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS	
	882231	CNE100003059	29.626	CNY			4.055.977	07	DELI	OVP	542231	DTCCSELLXXX	2962594155771021	1	~	-	Unmatched	DETAILS	ö
	882231	CNE100003059	29.623	CNY			4.055.977	07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	PETAILS	
	882231	CNE100003059	29,621	CNY			4,055,977	07	DELI	DVP	542231		2119994155771021	1	1	-	Unmatched	DETAILS	15
	882231	CNE100003059	29.624	ONY			4.085.977	97	DEU	OVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS I	ō
	882231	CNE100003059	29,621	CNY			4,055,977	07	DELI	DVP	542231		2119994155771021	~	~	-	Cancelled	DETAILS	
	882231	CNE1000030.59	29,622	CNY			4,055,977	97	DELI	DVP	542231		2119994155771021	× .	× .	-	Cancelled	DETAILS	
	882231	CNE100003059	29,624	CNY			4,055,977	07	DELI	DVP	542231		2119994155771021	~	1	-	Cancelled	DETAILS	i s
1	562231	CNE100003059	29,623	CNY			4,055,977	07	DELL	DVP	542231		2119994155771021	~	×	-	Cancelled	DETAILS	5
	882231	CNE100003059	29,626	CNY			4,055,977	07	DELL	DVP	542231	DTCCSELLXXX	2962994155771021	1	1	1	Settled	DETAILS	i s
п	882231	CNE1000030.59	29,627	ONY			4,085,977	07	DELL	OVP	542231	DTCCSELLXXX	2962094155771021	~	~	1	Cancelled	DETAILS	ō
п	882231	CNE100003059	29,627	CNY			4,085,977	07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS	i.
n	882231	CNE1000030.59	22,312	CNY			4,085,977	07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	× .	1	Settled	DETAILS	j,
	882231	CNE1000030 59	29,625	CNY			4,055,977.	07	DELI	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS	i s
	682231	CNE100003059	2,231	CNY			4,055,977	07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	× .	× .	Setted	DETAILS	j.s
	552775	CNE100003059	2,775	CNY			4,055,977	07	DELI	DVP	543008	DTCCSELLXXX	3008994155771021	1	~	~	Settled	DETAILS	i s
STI	111444	CNE100003059	2,102	ONY			4,055,977	07	DELL	DVP	140001	DTCCSELLXXX	000000075519031	-	~	-		DETAILS	j.»
	555550	CNE100003059	2,765	CNY			4,055,977	07	DELI	DVP	6995887		9360000044076693	1	~	-	Cancelled	DETAILS	i s
SSTI	111444	CNE100003059	2.102	CNY			4.065.977	97	DELL	DVP	140001	DTCCSELLXXX	000000075619032	-	×	-		DETAILS I	

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

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

HKEX Synapse The Power of Connectivity.					🗂 12 April 2023 🛈 symuel001 symuel001	x
Back Settlement Instruction Details Trade ID: 30089	4155771021					
KEY SETTLEMENT DETAILS SETTLEMENT STAT	US SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE				
SI HEALTH CHECK:						
CHECK		STATUS	SUDMITTED 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 Pawe of Correctivity • Brox - Settlement Instruction Details Trade ID: 617123031013				🛱 67 August 2024 @ synust074 synust074 = 🗙 X
KEY SETTLEMENT DETAILS SETTLEMENT STATUS	SI HEALTH CHECK TRANSACTION REFERENCES AN	D LIFECYCLE		
SI HEALTH CHECK:				
CHECK	STATUS	SUBMITTED VALUE	COUNTERPARTY VALUE	
<18IN	Health Chica: Passed			
Settlement Date	Health Check Passed			
Counterparty ID				
EP's account at CP	Health Check Passed			

b. (i) For AM

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

HKEX Synap The Power of Connectivity.	SE n Details Trade ID: 22310941555	171021			K	0	🗄 12 April 2023 🏵 symust601 symus1001	- <b>X</b>
KEY SETTLEMENT DETAILS	S SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE					
SI HEALT	H CHECK:							
CHECK			STATUS	SUBMITTED VALUE		COUNTERPARTY VALUE		
A ISIN			ISIN Imodia	CNE00000088				
A Sett	iement Date		Settement Data Invalid	2821-06-05				
A Cou	nterparty ID		Potential Counterparty Missigned	C30016		801110		
						801110		

(ii) For GC and LC

Health check provides additional business validation on EP's account at CP. If the settlement instruction fails this health check, then the GC and LC participant will see "EP's account at CP is empty".

HKEX Synapse The Power of Connectivity: • Bank. Settlement Instruction Details Trade ID: 617123090	2153033
KEY SETLEMENT DEFAUS SI HAATTI OFFIC: orfoco - SIN - SI	BIRALTH CHECK      TRANSACTION REFERENCES AND LIFECYCLE      Internation      Remotion      R
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	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":
	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 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
	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.
EP's account at CP	It is only applicable to buy-side instruction when investment manager counterparty data (i.e., EP's Account at CP) is not present in the SN.
	<ul> <li>Under this scenario, Synapse will still create the SI with empty client account number or processing reference sending to CCASS for matching and settlement processing. These 2 CCASS fields in C3T will be shown as below in C3T:</li> <li>Client Account Number: "" OR</li> <li>Processing Reference: ""SYN-</li> </ul>
	The LC could update the "Client Account Number" and "Processing Reference" in C3T if needed. It is recommended to input these missing fields for operational efficiency.

Field Name	Failure Reason Example
	Before matching Northbound Stock Connect transactions with an EP/broker for the first time, investment managers should ensure with their EP/broker that the EP/broker maintains correct and up to date Standing Settlement Instruction (SSI) data in DTCC systems. Having correct EP/broker SSI maintained in DTCC systems is precondition for a smooth and efficient settlement experience in Synapse and CCASS. Investment Managers facing EP/broker who are not sure on whether their SSI data is setup correctly, should ask their EP/broker to contact DTCC to investigate.

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

# 7.7 Transaction References and Lifecycle

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

SETTLEMENT DETAILS	SETTLEMENT STATUS	SI HEALTH CHECK	TRANSACTION REFERENCES AND LIFECYCLE				
TRANSACTION REFER	ENCES		TRANSACTION LIFECYCLE				
UTI	549300TXA3WBLB9JHZ88256576803	340723298158503940392565	STATUS A	TIME STAMP *	USER A	PARTY	REFERENCE
BUY-SIDE TRADE ID	010000170101102000120020001000	2565768034072329	Global Custodian Approved	2022-08-18 21:28:11		SynComp511	
SELL-SIDE TRADE ID		8158503940392565	Allocation Received and Settlement Instruction Initiated (Buy side)	2022-08-18 21:28:04		HKEX	
			Global Custodian Approved	2022-08-18 20:51:46		SynComp511	
			Allocation Received and Settlement Instruction Initiated (Buy side)	2022-08-18 20:51:40		HKEX	

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

#### **Transaction References**

#### **Transaction Lifecycle**

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

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

Field	Description
Status	Descriptive status of where the instruction is in processing. Examples include: - Allocation Received and Settlement Instruction Initiated (Buy side) - Allocation Received and Settlement Instruction Initiated (Sell side) - Global Custodian Approved - Global Custodian Rejected - Local Custodian Approved

Field	Description
	- Local Custodian Rejected
	- Clearing Participant Approved
	- Clearing Participant Rejected
	- Cancelled
	- Corporate Action – Conversion
	- Manual Amendment
	- Pending Cancellation
	- Cancelled (Revoked CP SI)
	- Cancelled (SI/STI Purged)
	- Cancelled (SI/STI Revoked or SI Deleted)
	- Matched
	- Unmatched (Settlement currency unmatched)
	- Unmatched (Stock code/ISIN unmatched)
	- Unmatched (Quantity unmatched)
	- Unmatched (No possible matching SI found)
	- Unmatched (Without any unmatched reason code)
	- Unmatched (Without any unmatched reason code)
	- Unmatched (Payment Instruction Unmatched)
	- Unmatched (Possible Matching SI but not earmarked as pairs)
	- Unmatched (Client A/C No. Unmatched)
	- Unmatched (Money Value Unmatched)
	- Unmatched (Money Value Unmatched)
	- Unmatched (Settlement Date Unmatched)
	- Unmatched (Instruction Type Unmatched)
	- Matched (RDP Payment Validated)
	- Pending for Transfer (Stock Segregated Account Transfer Instructions)
	- Matched (On-hold by Counterparty)
	- Matched (RDP Shares On-hold)
	- Matched (On-hold)
	- Settled
	- CCASS Rejection (Buy side)
	- CCASS Rejection (Sell side)
Timestamp	The date and time of each transaction activity
	Note: The timestamp shown on UI is indicating the Hong Kong Time
	(UTC+8); while the API fetching result is indicating the Universal Time
	(UTC+0).
User	System UID of the approver of each activity. Visibility of this field is
	dependent on the acting participant, e.g., a GC participant will only be able
	to see the approval/rejection actions taken by a GC and cannot see any
	actions taken by other participants, e.g., AM, LC, etc.
Party	Party of the approver of each activity.
	Participants will be able to see what actions are taken by HKEX
Reference	Always blank and reserved for the future use to show unique message
	reference for ISO20022 message generated (this information is only
	available to ISO message users). Visibility of this field is dependent on the
	acting participant, e.g., a GC participant will only be able to see the
	approval/rejection actions taken by a GC and cannot see any actions taken
	by other participants, e.g., AM, LC, etc. Synapse Users using GUI / API can
	ignore this field.

# 8. Relationships

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

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



1. The participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.

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

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

HKEX Syna The Power of Connectivity		🖶 14 June 2022 🕃 syn	uat001 synuat001 🗸 💢		
Dashboard	Settlement Instructions	Funds Rela	itionships	Market Data	Reports
	NAGER MIDDLE JTSOURCING R				
GLOBAL	USTODIANS:	LOCAL CUSTODIAN	IS:		
SynComp51	2 DETAILS	SynComp522	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		
SynComp51	1 DETAILS	SynComp521	DETAILS		

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



Field Name	Description
Name	The Legal Entity name of the entity
Role Type	Role of the entity
LEI	Legal Entity Identifier for the entity
BIC	Depository Business Identification Code
DN	Distinguished Name Code for the entity

Below are the relationship screens for each participant type.

# 8.1 Buy Side

#### Asset Manager (AM) – who does not appoint AMOO

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

X Synaps				🖻 14 June 2022 (🖲 syn	nuat001 symuat001
Dashboard Set	tlement Instructions	Funds	elationships	Market Data	Reports
ASSET MANAGE OFFICE OUTSO OPERATOR					
GLOBAL CUSTO	DIANS:	LOCAL CUSTODI	ANS:		
SynComp512	DETAILS	SynComp622	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.

	у.				
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
	ANAGER MIDDLE UTSOURCING PR				
SynComp55	56 DETAILS				
GLOBAL	CUSTODIANS:	LOCAL CUST	ODIANS:		
SynComp51	11 DETAILS -	SynComp521	DETAILS		
SynComp51	11 DETAILS -	SynComp522	DETAILS		
SynComp51	11 DETAILS -	SynComp521	DETAILS		
SynComp51	11 DETAILS	SynComp522	DETAILS		
SynComp51	11 DETAILS	SynComp521	DETAILS		
		1 - 7			

## Asset Manager Middle Office Outsourcing Operator (AMOO)

If the AMOO is being has appointed by multiple AM, then the AMOO can choose which AM to act as and sees the same as what the relevant AM would see.

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

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

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	SynComp556
	ANAGERS:		USTODIANS:	LOCAL	AM Outsourcing
SynComp5	02 DETAILS	SynComp511	DETAILS	SynComp521	<ul> <li>Function 1: Data Manager</li> <li>Role Type: Input-Only</li> <li>Function 2: SYN User</li> <li>Role Type: Input-Only</li> </ul>
					் Logout

Dashboard	Settlement Instructions	Funds		Act As:	
		Fonds	Relationsh	Q Search	Reports
ASSET MAN	AGERS:	GLOBAL C	USTODIANS:	SynComp502	L CUSTODIANS:
SynComp502	DETAILS	SynComp511	DETAILS	✓ SynComp556	DETAILS
I.					

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



	X Syna	pse		n 25 August 2022 ♥ Acti	ng As: SynComp502 🌱 🅃 ç	synuat391 synuat391 🗸	¢
Da	ashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports	
		NAGER MIDDLE TSOURCING					
	SynComp556	DETAILS					
	ASSET MAN	AGERS:	GLOBAL CU	JSTODIANS:	LOCAL C	USTODIANS:	
	SynComp502	DETAILS	SynComp511	DETAILS	SynComp521	DETAILS	

## **Global Custodian (GC)**

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

HKEX Syna	pse			🗎 14 June 2022 🕃 sy	nuat071 synuat071 🗸 🚶
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
ASSET MAN	AGERS:	LOCAL CUSTO	DIANS:		
SynComp502	DETAILS	SynComp521	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		
SynComp502	DETAILS	SynComp521	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		
SynComp502	DETAILS	SynComp522	DETAILS		
SynComp501	DETAILS	SynComp521	DETAILS		

## Local Custodian (LC)

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

HKEX Synap The Power of Connectivity.	ose			🖶 14 June 2022 🖲 sy	nuat141 synuat141 🗸 💢
Dashboard	Settlement Instructions	Funds	elationships	Market Data	Reports
ASSET MAN	AGERS:	GLOBAL CUSTO	DIANS:		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		
SynComp501	DETAILS	SynComp511	DETAILS		

# 8.2 Sell Side

## Exchange Participant (EP) – who does not appoint EPOO

On the Relationships tab, the EP participant can view the relationships between sell side participants, e.g., CP and EP

					Organization: SynComp531
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
					Exchange Participat
MIDDLE	GE PARTICIPANT				Function 1 : Transaction-Balance
	RCING OPERATOR				Role Type:
EXCHAN	GE PARTICIPANTS:	CLEARING	PARTICIPANTS:		Function 2 :
SynComp5	31 DETAILS	SynComp5	41 DETAILS		SYN User
SynComp5	31 DETAILS	S SynComp1	79 DETAILS		Input-Authorize
SynComp5		1			<ul> <li>Function 3 : Data Manager</li> </ul>
syncompa	31 DETAILS	SynComp3	33 DETAILS		Role Type: Input-Authorize
					Input-Authorize

# 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.

HK The Po		apse			🛱 25 August 2022 🌒 sy	/nuat221 synuat221 🗸 🚶
	Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	Reports
	MIDDLE O	CING OPERATOR				
	SynComp56					
	EXCHANG	E PARTICIPANTS:	CLEARING	PARTICIPANTS:		
	SynComp53	2 DETAILS	SynComp541	DETAILS		
			Inbox - Outloo	k Data File - Outlook		

## Exchange Participant Middle Office Outsourcing Operator (EPOO)

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

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

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





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





Clearing Participant (CP) – who does not appoint AO On the Relationships tab, the CP participant can view the relationships between sell side participants, e.g., EP and CP.

					Bin Organization: SynComp541
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
					Clearing Participant
ACCOUN	TOPERATOR				Function 1: Transaction-Balance
CLEARIN	G PARTICIPANTS:	EXCHAN	GE PARTICIPANTS:		Role Type:
SynComp5	41 DETAILS -	SynCom	p531 DETAILS		Function 2 :
					Data Manager
					Input-Authorize
					Function 3 : SYN User
					Role Type:
					input risting of

# 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.

Power of Connectivity.					In Organization: SynComp542
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
					Identity: Clearing Participant
ACCOUNT OP SynComp551	ERATOR				Function 1 : SYN User
CLEARING PA		EXCHANGE P	ARTICIPANTS:		Role Type: Input-Only
SynComp542	DETAILS				Function 2 : Transaction-Balances
'					Role Type: Input-Only
					Sunction 3 : Data Manager
					Role Type: Input-Only
					்Logout

#### Account Operator (AO)

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

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



HKEX S	Synapse			± 26	August 2022 @ Acting As: SynComp551	🔍 🕃 synual351 synual351 🗸 】	ς
Das	hboard	Settlement Instructions	Accounts	Relationships	Market Data	Reports	
	CLEARING PARTI	ICIPANTS:	EXCHANGE PAR	TICIPANTS:			
	SynComp542	DETAILS	SynComp531	DETAILS			

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

KEX Synapse				☐ 26 August 2022   Acting As:	synual351 synual351     Synual351     Grganization:     SynComp551
Dashboard	Settlement Instructions	Accounts	Relationships	Market Data	ACTING AS:
HBOARD					dentity: Account Operator
HBOARD					Function 1 : SYN User
SETTLEMENT INSTRUCTIO	N S 🗉	ACCOUNTS		NOTIFICATIONS	Role Type: Input-Only
0				Accounts (2)	Function 2 : Data Manager
Allocation Received				PREVIEW 👻	Role Type: Input-Only
O Processing in Synapse				Participants (0)     PREVIEW	<ul> <li>Eunction 3 : Transaction-Balance</li> </ul>
0					Role Type: Input-Only
Unmatched				Relationships (0)	() Logout
0					CEOGOUR
Matched				CCASS Exceptions (0) PREVIEW	
0				A SIs (0)	
Settled				PREVIEW V	
O Cancelled					
Gancellea					





# 9. Market Data

Market Data allows buy side and sell side participants to see the eligible Northbound securities from two markets: Shanghai Market (MAMK) and Shenzhen Market (SZMK). There is the functionality to export the stock list to CSV format.

Market Data functionality is the same for both buy side and sell side participants. There is no difference in functionality for different user types. The sample screens below are illustrative and are from the Asset Manager participant.



- 1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Market Data tab, the AM participant can view the eligible Northbound securities from two markets: Shanghai Market (MAMK) and Shenzhen Market (SZMK).

Dashboard	Settlement Inst	ructions	Funds	Relationship	s	Market Data	Reports
	r: Download in PDF F	ormat from HKEX we	bsite		Securities for Stock	Connect Northbound Marke	Export
arch	Shanghai Market	(MAMK)		- ( <u>.</u>	Shenz	hen Market (SZMK)	
STOCK NAME & GIGADEVICE	ISIN A	STOCK CODE &		NAME	≜ ISIN ≙	STOCK CODE =	
SEMICONDUCTOR(BEIJI	NG) CNE100003059	93986	~	SHANGHAI PUDONG DEVELOPMEN	- CNE000000WM5	70825	
SHANGHAI PUDONG DEVELOPMENT BANK CI	O. CNE100000RJ0	91288	×	BANK CO.,	41		
				TENCENT HOLDINGS	CNE000009N6	70028	

3. The AM participant can export the Stock List to CSV format by clicking the "Export" button.

Column	Description
stockCode	Stock code
isinCode	ISIN code; ISIN is the International Securities Identification Number. It
	can be used as a unique identifier for a stock
stockShortName	Short form of the stock name
marketCode	Indicated the stock market:
	- SZMK – Shenzhen Market
	- MAMK – Shanghai Market
listedDate	The date that the stock is listed
delistedDate	The date that the stock is delisted

# 10. Reports

Synapse offers participants the ability to export all its accessible data (e.g. Funds, Accounts, Settlement Instruction and Market Data) in CSV format.

# **10.1 Synapse Reports**

HKEX Synapse he Power of Connectivity.				Notifica	itions 🗸 📇 06 April 2022 @ Synual39 User 🗸 🂙
Dashboard S	Settlement Instructions	Funds	Relationships	Market Data	Reports
EPORTS					
SYNAPSE REPORTS					
E Daily Audit Trails					2021-08-05 😁 + EXPORT TO CSV
Statement of Holdings					✓ FILTER & EXPORT
TATEMENT OF HOLDING REPORT SUBSCRIPTION	s				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT	SUBSCRIPTION DATE	T	STATUS A
REPORT TEMPLATES					
Template SCV with RDP Payment Mode				VIEW FILTE	R DELETE + EXPORT TO CSV
III Template Funds with Fund Domicile HK				VIEW FILTE	R DELETE + EXPORT TO CSV

#### **10.1.1 Daily Audit Trail**

On the Reports tab, Synapse users can access a daily audit trail for all activities related to them (Funds, Accounts, and Settlement Instructions) in the form of a CSV. The daily audit trail report will be made available at the start of the day to show the previous day's system and user activities. Please note activities related to report download (e.g. SOH subscription / report template creation) and the mapping of outsourcing service provider will not be captured in the Daily Audit Trail.

1. On the Reports tab, the buy side and sell side participant can select a date for which they want to see the daily audit trail via the calendar dropdown.

HKEX Synapse	- AP		2		Notifications - 📇 06 April 2022 @ Synual39 User - 🔍
\/	Settlement Instructions	Funds	Relationships	Market Data	Reports
EPORTS					
SYNAPSE REPORTS					
≡ Daily Audit Trails					2021-06-05 🗎 + EXPORT TO CSV
≡ Statement of Holdings					Sat, Jun 5
					<ul> <li>June 2021</li> <li>Su Mo Tu We Th Fr Sa</li> </ul>
TATEMENT OF HOLDING REPORT SUBSCRIPTION	15				1 2 8 4 O + NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID 4	SPSA ACCOUNT * *	SUBSCRIPTION DA	TE A 🔻	6 7 8 9 90 91 92 92 94 96 98 97 92 93 US∧
					20 21 22 23 24 28 29
REPORT TEMPLATES					27 28 29 49
Template SCV with RDP Payment Mode				ê VI	EW FILTER DELETE + EXPORT TO CSV
Template Funds with Fund Domicile HK				é vi	EW FILTER DELETE + EXPORT TO CSV

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

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

HKEX Synapse The Power of Connectivity.			2	Notifications	- 🗄 06 April 2022 @ Synual39 User 🗸 🔰
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
■ Daily Audit Trails				2021-08	65 😁 + EXPORT TO CSV
≡ Statement of Holdings					▼ FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTION	45				+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SPSA ACCOUNT ≜ ▼	SUBSCRIPTION DATE		STATUS =
REPORT TEMPLATES					
Template SCV with RDP Payment Mode				VIEW FILTER	DELETE + EXPORT TO CSV
III Template Funds with Fund Domicile HK				VIEW FILTER	DELETE + EXPORT TO CSV
AuditLogs (8).csv					Show all

Column	Description
Timestamp	Date/time when the transaction was recorded (in HKT)
	Information to be displayed for different type of records:
	For SN - maps to CTM Transaction Identification
Identification	For SCV - maps to UTI
luentineation	For Entity - maps to BIC/PID
	For Fund - maps to Fund ID and Fund Account at GC
	For Account - maps to Acct EP at CP
	Indicated the sub-categories of the record
	For Settlement Processing
	- Settlement Notification Received (Buy side)
	- Settlement Notification Received (Sell side)
	- SCV Created (Buy Side) SCV Created (Sell Side)
	- GC Approved
	- LC Approved
	- CP Approved
	- GC Rejected
	- LC Rejected
	- CP Rejected
	- Synapse Rejected (Buy Side)
	- Synapse Rejected (Sell Side)
Message Type	- SCV Cancelled (Buy Side)
	- SCV Cancelled (Sell Side)
	- Input SI Request (Buy Side)
	- Input SI Request (Sell Side)
	- Unmatched - OTHR (Buy Side)
	- Unmatched - OTHR (Sell Side)
	- Unmatched - SAFE (Buy Side)
	- Unmatched - SAFE (Sell Side)
	- Unmatched - DSEC (Buy Side)
	- Unmatched - DSEC (Sell Side)
	- Unmatched - DELN (Buy Side)
	- Unmatched - DELN (Sell Side)
	- Unmatched - FRAP (Buy Side)
	- Unmatched - FRAP (Sell Side)

Column	Description
	- Unmatched - DQUA (Buy Side)
	- Unmatched - DQUA (Sell Side)
	- Unmatched - DMON (Buy Side)
	- Unmatched - DMON (Sell Side)
	- Unmatched - DDAT (Buy Side)
	- Unmatched - DDAT (Sell Side)
	- Unmatched - DCUR (Buy Side)
	- Unmatched - DCUR (Sell Side)
	- Unmatched - NPOS (Buy Side)
	- Unmatched - NPOS (Sell Side)
	- Unmatched - PMNE (Buy Side)
	- Unmatched - PMNE (Sell Side)
	- Unmatched - URNA (Buy Side)
	- Unmatched - URNA (Sell Side)
	- Matched - MTCH (Buy Side)
	- Matched - MTCH (Sell Side)
	- Settled - SETD (Buy Side)
	- Settled - SETD (Sell Side)
	- Cancelled - CANI (Buy Side)
	- Cancelled- CANI (Sell Side)
	- Cancelled (CP) - CSUB (Buy Side)
	- Cancelled (CP) - CSUB (Sell Side)
	- Shares on Hold - CVAL (Buy Side)
	- Shares on Hold - CVAL (Sell Side)
	- Payment Validated - CYCL (Buy Side)
	- Payment Validated - CYCL (Sell Side)
	- Matched On-Hold - PREA (Buy Side)
	- Matched On-Hold - PREA (Sell Side)
	- Pending for Transfer - CAIS (Buy Side)
	- Pending for Transfer - CAIS (Sell Side)
	- Counter Party Instruction On-Hold - PRCY (Buy Side)
	- Counter Party Instruction On-Hold - PRCY (Sell Side)
	- Cancelled - CANS (Buy Side)
	- Cancelled - CANS (Sell Side)
	For Participant Onboarding
	- New Active GC Entity
	- New Active LC Entity
	- New Active AM Entity
	- New Active EP Entity
	- New Active CP Entity
	- New Active AMOO Entity
	- New Active EPOO Entity
	- New Active AO Entity
	- Entity Details Amended
	- Entity Status Amended
	For Fund Onboarding
	- New Fund Created
	- New Fund Profile Approved by GC
	- New Fund Profile Approved by LC
	- New Fund Profile Rejected by GC
	- New Fund Profile Rejected by LC
	- LC-Reappointment Approved by GC
	- LC-Reappointment Approved by LC

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

## 10.1.2 Statement of Holdings

On the Reports tab, only buy side participants can download the Statement of Holdings in the form of CSV file. By on-boarding a fund onto Synapse, the relevant LC is taken to have authorized that (1) the Statement of Holdings in relation to the fund on-boarded onto Synapse in accordance with instructions from the relevant AM and GC can be provided to or through Synapse from time to time; and (2) the relevant LC, AM and GC can download such Statement of Holdings from Synapse following the steps set out in this section.

#### **Buy Side**

1. On the Reports tab, the buy side participant can click "Filter & Export" to create a filter for the Statement of Holdings.

HKEX Synapse The Power of Connectivity.					22 March 2022 @ Synual40 User 🗸 💢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
Daily Audit Trails  Statement of Holdings	FILTER TO CREATE REPORT: Statement of Holding			Clear Filters and Close	EXPORT TO CSV     FILTER & EXPORT
STATEMENT OF HOLDING REPORT SU PARTICIPANT NAME * * CP00009_Symposial:1220871648063 REPORT TEMPLATES	Date: <u>set in the B</u> Investige: Cb Each or Intel Charge: 0 Af				+ NEW SUBSCRPTION

- 2. The buy side participant will select a date via the calendar dropdown and the investor ID(s) they want to select.
  - a. Note: 31 calendar days are available for selection
  - b. Note: the Investor ID list is based on the Statement of Holdings subscription that was created.

HKEX Synapse					2 March 2022 @ Synual40 User — 🂢
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
REPORTS					
SYNAPSE REPORTS					
m Daily Audit Trails		in the second			+ EXPORT TO CSV
III Statement of Holdings	FILTER TO CREATE REPORT: Statement of Ho	ling		Clear Filters and Close topot	* FILTER & EXPORT
	Date:				
STATEMENT OF HOLDING REPORT SL	2021-08-06				+ NEW SUBSCRIPTION
PARTICIPANT NAME * * CP00909_SynapseAM 12208766685e3	Investor IDs: Enter or Select All that Apply:				Edit Unsubscribe
	O AI 300013				
REPORT TEMPLATES					

3. If the incorrect date or incorrect investor ID(s) were selected, then the buy side participant can click "Clear Filters and Close" to remove any selections.

4. When the correct date and investor ID(s) have been selected, the buy side participant then clicks "Export" to download the Statement of Holdings into CSV file.

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

## 10.1.2.1 Subscribe to Statement of Holding Report

Only buy side participants, e.g., AM, AMOO, GC, and LC, can create a Statement of Holding report subscription. If the AMOO is performing SOH subscription for a specific AM, both AMOO and that specific AM (provided that the AM has also opted for ISO connectivity channel) will receive the SOH via ISO connectivity channel.

#### **Buy Side**

#### Buy Side Data Manager Input Only User

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

HKEX Synapse The Power of Connectwely. Dashboard Settlemen	at Instructions	Funds	Relationships	<ul> <li>Netificat</li> <li>Market Data</li> </ul>	tions - 📇 22 Mar	ich 2022 @ Synual40 User - X
REPORTS	n maedolikina		Relationstaps	maiker Data		Керите
SYNAPSE REPORTS III Daily Audit Tratis III Statement of Holdings	SUBSCRIBE TO STA Peace preside the following information Subscription Start Date:	TEMENT OF HOLDING REPORT:		_		EXPORT TO CSV     PILTER & EXPORT
STATEMENT OF HOLDING REPORT SUBSCRIPTIONS PARTICIPANT NAME - * CP00009_SympackAL: 122087NedStel30-4e1614888049822a030	2021 05 65				STATUS	NEW SUBSCRIPTION Edit Unsubscribe
REPORT TEMPLATES				Cancel SUBMIT		

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.

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When the participant click the drop down, the participant will see a list of investor IDs that are relevant to themselves. They can select which investor IDs in particular they want to subscribe the Statement of Holding Report.



- 2. The Buy Side Data Manager Input Only User clicks "Submit".
- 3. A new row is created in the Statement of Holding Report Subscriptions table with the status "Pending approval".

#### Buy Side Data Manager Input Authorise User

1. On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status "Pending approval".
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|--------------------------------|-----------------------|--------------|---------------|----------------------|-------------------------|
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- 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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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.

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- 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.

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### 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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		SPSA ACCOUNT A 7		STATUS A	
SynComp502	300013	8000001	2021-06-05	Edit	Unsubscribe

2. The Buy Side Data Manager Input Only User will see the row in the Statement of Holding Report Subscriptions table with the status "Pending Approval (Unsubscribe)"

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#### 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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SynComp501	300013, 300008, 600002 800000	01, BO1451, 800000	JUZ ZUZ1-U6-UƏ	Pending Approval (Unsubscribe)	× Reject ✓ Approve

- 2. Buy Side Data Manager Input Authorise User can either click "Reject" or "Approve".
  - a. If Buy Side Data Manager Input Authorise User clicks "Approve", then the Statement of Holding Report unsubscription is approved, the previous subscription record will be removed from the list and the unsubscription will be immediately effective.

Dashboard	Settlement Instructions	Funds	Relationships Market Dat	a Reports
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ATEMENT OF HOLDING REPORT SUBSCR	UPTIONS			+ NEW SUBSCRIPTION
PARTICIPANT NAME * *	INVESTOR ID **	SPSA ACCOUNT **	SUBSCRIPTION DATE	STATUS -
PORT TEMPLATES				

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

### 10.1.2.3 Amend the Subscription to the Statement of Holding Report

If a buy side participant wants to amend a Statement of Holding subscription, then they can update the selection of the Investor IDs. They can select "All" investor ID, select / add new investor ID or remove existing investor ID.

### **Buy Side**

### Buy Side Data Manager Input Only User

1. On the Reports tab, the Buy Side Data Manager Input Only User clicks "Edit" and select investor ID(s).

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SynComp501	300013, 600002	80000001, 80000002	2021-06-05	Ean	Unsubscribe
REPORT TEMPLATES					

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

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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)".

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Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
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#### Buy Side Data Manager Input Authorise User

 On the Reports tab, the Buy Side Data Manager Input Authorise User will see the row in the Statement of Holding Report Subscriptions table with the status "Pending approval (Amend)".

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REPORT TEMPLATES						

- 2. Buy Side Data Manager Input Authorise User can either click "Reject" or "Approve".
  - a. If Buy Side Data Manager Input Authorise User clicks "Approve", then the amendment of Statement of Holding Report subscription is approved and will start on the date provided by the Input Only User. That means the previous subscription details will be replaced by the new subscription and the participant will no longer receive the Statement of Holding Report based on previous subscription details.

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		SPSA ACCOUNT A 7		STATUS 🗠	
	INVESTOR ID				

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

### 10.1.3 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 .

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	Master SPSA IDs: seect but Appy: 333000				
REPORT TEMPLATES					

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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51	882231	CNE1000030.59	29.623	CNY			4,665,977.07	DEU	DVP	542231		2119934155771021	~	~		Cancelled	DETAILS >
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51	882231	CNE100003059	29,622	CNY	4,065,977.07	DELI							Clear APPLY	
51	882231	CNE100003053	29,621	CNY	4,065,977.07	DELI								
51	882231	CNE1000030.59	29,623	ONY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	1	<ul> <li>Cancelled</li> </ul>	DETAILS
\$1	882231	CNE100003053	29,624	ONY	4,065,977.07	DEU	DVP	542231		2119994155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAILS
	882231	CNE100003059	29,626	ONY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	~	<ul> <li>Settled</li> </ul>	DETAILS
					4 065 977 07	DELL	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAILS
sm	882231	CNE1000030.59	29,627	ONY										
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STI STI STI	882231 882231	CNE1000030 59 CNE1000030 59	29,627 22,312	ONY ONY	4,065,977.07 4,065,977.07	DELI	DVP	542231 542231		2231094155771021	, ,	1	<ul> <li>Settled</li> </ul>	DETAILS
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STI STI STI SI SI SI SI	882231 882231 882231 882231 882231 882228	CNE100003059 CNE100003059 CNE10003059 CNE10003059 CNE10003059	29,627 22,312 29,625 2,231 2,231 2,226		4,045,977.07 4,045,977.07 4,045,977.07 4,045,977.07 4,045,977.07	DEU DEU DEU DEU	DVP DVP DVP DVP	542231 542231 542231 542231 542231 542228	DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX DTCCSELLXXX	2231094155771021 2119894155771021 2231994155771021 2228000044076892	· · · ·		Settled     Unmatche     Settled     Settled     Settled     Settled	DETAILS DETAILS DETAILS DETAILS
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- 3. The AM participant can click '+ Add Filters'. Then the AM participant will see a module with a dropdown of all fields that the Settlement Instruction List view can be filtered on. There is no maximum number of filters that can be added. There are four types of filters:
  - a. Radial button to select a specific type, e.g. Payment Mode type

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b. Date filter wherein specific date(s) can be selected, e.g. today, range, or the last (n) calendar days (April 4, 1900)

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8	882231	CNE100003059	29.624	ONY	4 065 977 07	DELI	DVP	542231		2119994155771021		-	-	Cancelled	DETAILS
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T	882231	CNE100003059	22.312	CNY	4.065.977.07	DEU	DVP	542231	DTCCSELLXXX	2231094155771021	~			Settled	PETAILS
şi	882231	CNE1000030.59	29,625	CNY	4.065.977.07	DELI	DVP	542231		2119994155771021	1	1	-	Unmatched	DETAILS
51	882231	CNE1000030 59	2,231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	1	1	1	Settled	DETAILS
STI	882228	CNE100003059	2,226	CNY	4,065,977.07	DELI	DVP	542226	DTCCSELLXXX	2226000044076692	~	~	~	Settled	DETAILS
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When the user selects "Today"

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

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п	882231	CNE100003059	29.627	CNV	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancelled</li> </ul>	DETAILS
n	882231	CNE100003059	29,627	CNV	4,055,977.07	DEU	DVP	\$42231	DTCCSELLXXX	2962094155771021	1	1	<ul> <li>Cancelled</li> </ul>	DETAILS
TI .	882231	CNE1000030.59	22,312	CNY	4,065,977.07	DEU	DVP	542231	DTCCSELLXXX	2231094155771021	1	1	<ul> <li>Settled</li> </ul>	DETAILS
4	882231	CNE100003039	29,625	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	~	- Unmatche	d DETAILS
1	882231	CNE100003059	2,231	ONY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	×	<ul> <li>Settled</li> </ul>	DETAILS
FTI .	882228	CNE1000030.59	2,228	CNY	4,065,977.07	DEU	DVP	542228	DTCCSELLXXX	2226000044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS
m	552227	CNE100003059	2,227	CNY	4,065,977.07	DELI	DVP	542227	DTCCSELLXXX	2227000044876692	~	~	<ul> <li>Settled</li> </ul>	DETAILS
m	882245	CNE100003059	22,451	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245200044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS
m	882245	CNE100003059	22,453	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245400044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS
4	222763	CNE100003059	92,200	CNV	4,055,977.07	DELI	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-	DETAILS
TT .	882245	CNE100003059	22,450	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245000044076692	~	1	<ul> <li>Settled</li> </ul>	DETAILS
ITI	882245	CNE100003059	22,452	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245300044076892	~	~	<ul> <li>Settled</li> </ul>	DETAILS
TI	882245	CNE100003059	22.455	CNV	4.065.977.07	DEU	DVP	542245	DTCCSELLXOX	2245500044076892			<ul> <li>Settled</li> </ul>	

### When the user selects "Last (n) calendar days"

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	Dashboard		Set	tlement Inst	ructions			Funds			Rela	ionships	М	arket Data				Reports	
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					T CURRENC	γ×Ŧ				0	Today 🔿 Range 🍕	Last (n) calendar days							
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51	882231	CNE100003059	29,624	CNY			4,085,97	7.07	DELI	orr		UNECUT		2110001100111021				Vancolou	DETAILS /
31	882231	CNE100003059	29,626	CNY			4,065,97	7.07	DEU	DVP		542231	DTCCSELLXXX	2962994155771021	~	~	~	Settled	DETAILS >
m	882231	CNE100003059	29,627	CNY			4,065,97	7.07	DEU	DVP		542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS >
m	582231	CNE100003059	29,627	CNY			4,065,90	7.07	DELI	DVP		542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS
TT .	882231	CNE100003059	22,312	CNY			4,065,97	7.07	DELI	DVP		542231	DTCCSELLXXX	2231094155771021	~	1	~	Settled	DETAILS
4	882231	CNE100003059	29,625	CNY			4,065,97	7.07	DEU	DVP		542231		2119994155771021	~	~	-	Unmatched	DETAILS >
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		CNE100003059	2,227	CNY			4,065,97	7.07	DEU				DTCCSELLXXX	2227601044976692	~	~	~	Settled	DETAILS
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	222763	CNE100003059	92,200	CNY			4,065,97		DEU	DVP		522763	DTCCSELLXXX	2763494155771021	~	-	-		DETAILS
	882245	CNE100003059	22,450	CNY			4,085,97		DEU	DVP		542245	DTCCSELLXXX	2245001044976692	~	~	~	Settled	DETAILS >
STI							4.065.97		DELI	DVP		542245	DTCCSELLXXX	2245301044976692					DETAILS >
m m m	882245 882245	CNE100003059 CNE100003059	22,452 22,455	CNY			4,005,97		DEU	DVP		542245	DTCCSELLXXX	2245501044976092		5	÷	Setted	DETAILS /

c. String filter wherein the participant can enter a string of text on which to filter, e.g. Fund Umbrella name

HKEX S		2										🗂 17 Ap	11 2023	1 synuat001 🗸 💢
	Dashboard		Se	tlement Instructions	Funds			Relationships	Mai	ket Data			Reports	
iettlement Inst	ructions													
BETTLEMEN	NT INSTRU	CTIONS		1 1 0 Processing Unmatched Mat	11 6 Iched Settled Cancelled							Ci	ncel Leve Report es 1	bragiels Propert Report in
FILTERS APPLI	ED :												O Clear All Filte	+ ADD FILTERS
ILTER RESULTS	(19 Rows)						+ Filter on FUND NA	ME -						Close
INS TYPE - *	FUND ID * *	ISIN * * CNE100003059	QUANTITY - *	SETTLEMENT CURRENCY **	SETTLEMENT AMOUNT 4 * 4.065.977.07	TYPE **	🖲 Equals 🔿 🛙	oes not equal 🔘 Begin with (	○ End with ○ Contains ○ Does n	it contain				
si	882231	CNE100003059	29.622	CNY	4.065.977.07	DELI	Value Equals:							
54	882231	CNE100003059	29.621	CNV	4,065,977.07	DELI	Enter							
54	882231	CNE1000030.59	29,623	CNV	4,065,977.07	DEU							Clear APPLY	
54	882231	CNE100003039	29,624	CNY	4,065,977.07	DEU		012201		CTIONOTHOUTHOUT			Carboro.	
1	882231	CNE1000030.59	29,626	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	~	<ul> <li>Settled</li> </ul>	BCTAILS >
m	882231	CNE100033389	29,627	CNY	4,065,977.07	DEU	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Canceller</li> </ul>	DCTAILS >
m	882231	CNE1000030.59	29,627	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	<ul> <li>Cancelles</li> </ul>	DETAILS >
m	882231	CNE100003059	22,312	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
	882231	CNE100003059	29,625	CNY	4,065,977.07	DELI	DVP	542231		2119994155771021	~	~	- Unmatche	d DETAILS >
	882231	CNE100003059	2,231	CNY	4,065,977.07	DELI	DVP	542231	DTCCSELLOCK	2231994155771021	~	~	<ul> <li>Setted</li> </ul>	DETAILS
an each	882225	CNE100003059	2,226	CNV	4,065,977.07	DELI	DVP	542225	DTCCSELLXXX	2226000044076692	1	1	<ul> <li>Settled</li> </ul>	DETAILS
STI .	552227	CNE100003059	2,227	CNV	4,065,977.07	DEU	DVP	542227	DTCCSELLXXX	2227000044076692	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
171	882245	CNE100003059	22,451	CNY	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245200044076692	~	1	<ul> <li>Setted</li> </ul>	DETAILS >
STI .	882245	CNE1000030.59	22.453	CNV	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245400044078692	~	~	<ul> <li>Settled</li> </ul>	DETAILS >
SI .	222763	CNE1000030.59	92,200	CNY	4,065,977.07	DEU	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-	DCTAILS >
STI	882245	CNE100003059	22,450	CNV	4,065,977.07	DELI	DVP	542245	DTCCSELLXXX	2245000044076692	~	~	<ul> <li>Settled</li> </ul>	BETAILS >
STI STI	882245	CNE100003059	22,452	CNY	4,065,977.07	DEU	DVP	542245	DTCCSELLXXX	2245300044076692	~	~	<ul> <li>Settled</li> </ul>	DCTAILS >
	882245	CNE100003059	22.455	CNY	4.065.977.07	DELI	DVP	542245	DTCCSELLXXX	2245500044076692			<ul> <li>Settled</li> </ul>	DETAILS >

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

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	Dashboard	1	Set	tlement Instruction:	•		Funds			Relationships	Ma	rket Data				Reports	
ettlement Instr	ructions																
ETTLEMEN	NT INSTRUC	CTIONS		1 1	0	11 6								c	ancel	Lave Report as Temptal	la saport report
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FILTERS APPLIE	ED :														0.0	ear All Filters	+ ADD FILTE
TER RESULTS	(40 Dame)								+ Filter on SETT	LEMENT AMOUNT -							Close
TER RESULTS	(19 KOWS)								Operators:								
NS TYPE - *	FUND ID **	ISIN A T	QUANTITY <sup>A</sup>	SETTLEMENT CURRE	ENCY 4 T	SETTLEME	NT AMOUNT 4 7	TYPE	Equals	O Does not equal O Greater than or	requalito. O Less than or equal to	O Between					
a de la companya de la	552796	CNE1000030.59	279,600	CNY		4,065,977.0		DEU									
8	882231	CNE100003059	29,622	CNY		4,065,977.0		DELI	Value Equa	8							
8	882231	CNE1000030.99	29,621	CNY		4,065,977.0		DELI	4.08								
8	882231	CNE100003059	29,623	CNY		4,065,977.0		DELI							Clear	APPLY	
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8	882231	CNE100003059	29,626	CNV		4,065,977.0		DELI	DVP	542231	DTCCSELLXXX	2962994155771021	~	~	~	Settled	DETAILS >
i Ti	882231	CNE100003059	29,627	CNV		4,065,977.0		DEU	DVP	542231	DTCCSELLXXX	2962094155771021	~	~	~	Cancelled	DETAILS >
171	882231	CNE100003059	29,627	CNV		4,065,977.0		DEU	DVP	542231	DTCCSELLXXX	2982094155771021	~	~	~	Cancelled	DETAILS >
171	882231	CNE100003059	22,312	CNV		4,065,977.0		DELI	DVP	542231	DTCCSELLXXX	2231094155771021	~	~	~	Settled	DETAILS >
a	882231	CNE1000030.59	29,625	CNV		4,065,977.0		DEU	DVP	542231		2119994155771021	~	~	-	Unmatched	DETAILS >
8	882231	CNE100003059	2,231	CNY		4,065,977.0		DELI	DVP	542231	DTCCSELLXXX	2231994155771021	~	~	~	Settled	DETAILS
i Ti	882226	CNE1000030.99	2.228	CNV		4,065,977.0		DELI	DVP	542228	DTCCSELLXXX	2226303044076692	~	~	~	Settled	DETAILS
m	552227	CNE1000030.59	2,227	CNY		4,065,977.0		DEU	DVP	542227	DTCCSELLXXX	2227000044076092	~	~	~	Settled	DETAILS
i TI	882245	CNE100003059	22,451	CNY		4,065,977.0		DELI	DVP	542245	DTCCSELLXXX	2245203044076692	~	~	~	Settled	DETAILS
	882245	CNE100003059	22,453	CNV		4,065,977.0		DELI	DVP	542245	DTCCSELLXXX	2245403044076692	× .	~	~	Settled	DETAILS
a	222763	CNE100003059	92,200	CNY		4,065,977.0		DELI	DVP	522763	DTCCSELLXXX	2763494155771021	~	-	-		DETAILS
171	882245	CNE100003059	22,450	CNV		4,065,977.0		DEU	DVP	542245	DTCCSELLXXX	2245000044076692	~	~	~	Settled	DETAILS
171	882245	CNE100003059	22,452	CNV		4,065,977.0		DEU	DVP	542245	DTCCSELLXXX	2245300044076692	~	~	~	Sottled	DETAILS
TI .	\$87245	CNE100003059	22.455	CNV		4 065 977 0	7	DELL	DVP	542245	DTCCSELLXXX	2245503044076692	~	~	~	Settled	DETAIL

- 4. After the AM participant adds all of the desired filters, they click 'Apply'.
- 5. All of the desired filters will show on the top of the screen, and the Settlement Instruction List view will show the filtered results.

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FILTERS APPLIED : XINS TYP : SI XQuantity :	Equals) 92,200				O Clear All Filters + ADD FILTERS
FILTER RESULTS (1 Rows)					
INS TYPE ** FUND ID ** ISIN ** SI 222763 <u>CNE10003039</u>	QUANTITY ** SETTLEMENT CURRENCY ** 92,200 CNY	SETTLEMENT AMOUNT - *         TYPE - *         PAYM           4,005,977.07         DELI         DVP           Previous < >         >	522763 D	P BIC ** TRADE ID ** TCCSELLXXX 2763494155771021	GC+T LC+T CP+T STATUS+T

### **10.2.2 Create Report Templates**

Both buy side and sell side participants can create report templates for individual use or for sharing with others.

Create report templates functionality for both buy side and sell side participants is on the Report Feature on the Settlement Instruction List view. The filters applied from the create report template functionality can be applied against all fields on the list view and details view. There is no difference in functionality for either Input Only Users or Input Authorise Users.

The sample screens below are illustrative and are from the Asset Manager participant on the Settlement Instruction List View.



- 1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Settlement Instructions, the AM participant can generate a report from the Settlement Instruction List view.

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ttlement Ir	nstructions	1															
				4	2	0	0	0								Q Search Ge	enerate Re
				Processing	Unmatched	Matched	Settled	Cancelled								2021-06-05	
			QUANTITY 4 *	SETTLEMENT C	JRRENCY * *	SETTLEME			PAYMEN		ND ACCOUNT AT GC 🗠 🔻					CP ^ 🔻 STATUS ^	
		CNE100003059		CNY		4,065,977.0		RECE			2509		1558063279132021	~	•	<ul> <li>Unmatched</li> </ul>	
		CNE100003059		CNY		4,065,977.0		RECE	DVP		2509		1558063279132022	~		<ul> <li>Unmatched</li> </ul>	
	882551	CNE100003059	92,200	CNY		4,065,977.0	7	RECE	DVP	542	2561		5058768034052123	-	×	-	DETAI
	882561	CNE100003059	92,200	CNY		4,065,977.0	7	RECE	DVP	543	2561		4458768034052123	×	-	-	DETAI
	882511	CNE100003059	2,511	CNY		4,065,977.0	7	DELI	DVP	543	2511		2511394155771022	-	-	-	DETAI
	552568	CNE100003059	693	CNY		4,065,977.0	7	DELI	DVP	543	2568		1693994155771021	-	-	-	DETAI

- 3. The AM participant can click 'Generate Report' from the Settlement Instruction List view, for example, and clicks '+ Add Filters'. Then the AM participant will see a module with a dropdown of all fields that the List view can be filtered on. There is no maximum number of filters that can be added. There are four types of filters:
  - a. Radial button to select a specific type, e.g., Payment Mode type to
  - b. Date filter wherein specific date(s) can be selected, e.g., today, range, or the last (n) calendar days
  - c. String filter wherein the participant can enter a string of text on which to filter, e.g., Fund Umbrella name
  - d. Numerical filter wherein the participant can enter an integer on which to filter, e.g., Settlement Amount
- 4. After the AM participant adds all of the desired filters, they click 'Apply'.
- 5. All of the desired filters will show on the top of the screen, and the List view will show the filtered results.

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	Dashboard	d	Settlen	nent Instruction	าร		Funds			Relation	nships	Marke	t Data			Repor	rts	
ttlement I	Instructions	5																
	ETTLEME			4 Processing	2 Unmatched	0 Matched	·	0 Cancelle	ıd					Cancel	Same I	Report as Tem	wlate Expo	irt Report to
ILTERS AF	PLIED : XII	NS TYP : SI ×	Quantity : (Eq	-											Clear	All Filters	+ ADD	FILTERS
	LTS (4 Rows)		QUANTITY - *	SETTLEMENT CU	RRENCY	SETTLEME	ENTAMOU	NT * T	YPE - T P	AYMENT MODE	FUND ACCOUNT AT GO	CAT EP BICAT	TRADE ID	GC - Ŧ	LC - T	CP ≜ ▼ \$1	TATUS - 7	
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	552509	CNE100003059	92,200	CNY		4,065,977.0	07	RI	ECE D	VP	542509		1558063279132022	~	~	- Ur	nmatched	DETAIL
	882561	CNE100003059	92,200	CNY		4,065,977.0	07	RE	ECE D	VP.	542561		5058768034052123	-	×	-		DETAIL
	882561	CNE100003059	92,200	CNY		4,065,977.0	07		ECE D'	> Next	542561		4458768034052123	×	-	-		DETAIL

 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

								Funds				Relati	onships									
lettlement	Instruction	s																				
	SETTLEM			4	2	0		0										Car	icel	ave Report a	es Template Ex	port Report to
				Proc	essing Unma	tched Ma	tched	Settled	d Cano	elled							-					
FILTERS A	PPLIED : XI	INS TYP : SI ×	Quantity : (Equ	an .	SAVE AS	REP	ORT	TE	MPL	ATE:									• Ci	ar All Fi	Iters + ADE	FILTERS
					Confirming will sa							in the Don	rio tab									
LTER RES	ULTS (4 Rows	s)			Filters Applied		u list ds e	arepoirt	template,	WHERE WE	De viewable	in the Rep	15 689.									
	FUND ID * 7	10101-4-7	QUANTITY + T		INS TYP: SI												ADE ID 4 7			T OR A	- STATUS	
31.	552509	CNE100003059			Quantity (Equa	s) 92,200											50053279132				Unmatched	
31	552509	CNE100003059	92,200	Ct	Template Nam	e											30063279132	122 🗸	4	7.	Unmatched	DETAILS
51	882561	CNE100003059	92,200	CT			-										38768034052	23 -	×	-		DETAILS
51	882561	CNE100003059	92,200	C	SI Instruction Typ	e with 92200	Quantin	М.									18768034052	23 ×		-		DETAILS
														c	Cancel	SAVE						

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.

HKEX Synapse The Power of Connectivity.					🗂 19 Ap	ril 2023 🕃 synuat001 synuat001 \vee 🔰
Dashboard	Settlement Instructions	Funds	Relationships	Market D	lata	Reports
REPORTS						
SYNAPSE REPORTS						
≡ Daily Audit Trails					2021-06-05	The second secon
≡ Statement of Holdings						= FILTER & EXPORT
STATEMENT OF HOLDING REPORT SUE	SCRIPTIONS					+ NEW SUBSCRIPTION
PARTICIPANT NAME	INVESTOR ID	SP SA ACCOUNT	6 <del>7</del>	SUBSCRIPTION DATE		STATUS 🗅
REPORT TEMPLATES						
SI Instruction Type with 92200 Quantity				â VIE	W FILTER	ELETE

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

HKEX Synapse			🛊 Notifications 🗸 🗖 07	January 2022 ④ CP0040_UM 🗸
Dashboard	Settlement Instructions	Funds Relations	ships Market Data	Reports
STATEMENT OF HOLDING REPOR	TSUBSCRIPTIONS			+ NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT 4 7	SUBSCRIPTION DATE	STATUS +
REPORT TEMPLATES				
			VIEW FILTER     DE	LETE + EXPORT TO CSV
SI Instruction Type with 92,200 Quant	ity		a VIEW FILTER DE	LETE TEXPORT TO Cav
<ul> <li>SI Instruction Type with 92,200 Quant</li> <li>SSTI Instruction Type</li> </ul>	ny			LETE

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

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Dashboard YNAPSE REPORTS	Settlement Instructions	Funds	Relationships	Market Data	Reports
≡ Daily Audit Trails				2022-01-0	7 T EXPORT TO CSV
≡ Statement of Holdings					⇒ FILTER & EXPORT
TATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A 👻	INVESTOR ID A 7	SPSA ACCOUNT A 🔻		SUBSCRIPTION DATE	STATUS 🗠
REPORT TEMPLATES					
SSTI Instruction Type				VIEW FILTER	DELETE
■ SI Instruction Type with 92,200 Quantity	у			A VIEW FILTER	DELETE
STI Instruction Type				A VIEW FILTER	DELETE

- 3. To share a report template with other users at the entity, the AM participant can click that report's lock icon, which will change to a people icon. The report template will automatically be shared with all other users within the entity, where an additional row will immediately appear in the Report Template section for the rest of the users within that entity.
  - a. Note: If the AM participant does not want to share the report template with other users, the AM participant can click the people icon, which will change back to a lock icon. The report template will not be shared with other users immediately.

### **10.2.4 Delete Report Templates**

Synapse offers participants the ability to delete previously created report templates. Delete report templates functionality is limited to the reports that buy side and sell side participants are allowed to see. There is no difference in functionality for either Input Only Users or Input Authorise Users. The sample screens below are illustrative and are from the Asset Manager participant.



- 1. The AM participant logs in to Synapse via HKEX Access Management Portal and navigates to the Dashboard screen.
- 2. On the Reports tab, the AM participant can see the previously saved report templates. There are two types of saved report templates as indicated through an icon:

a. Lock icon - these are saved report templates accessed by an individual

Dashboard	Settlement Instructions	Funds Relatio	nships Market D	ata Reports
TATEMENT OF HOLDING REPOR	RT SUBSCRIPTIONS			+ NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT	SUBSCRIPTION DATE	STATUS o
REPORT TEMPLATES				
SI Instruction Type with 92,200 Quar	ntity		VIEW FILTER	DELETE
SSTI Instruction Type			VIEW FILTER	
STI Instruction Type			VIEW FILTER	
an a			-	

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

Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
YNAPSE REPORTS					
≣Daily Audit Trails				2022-01-	↑ EXPORT TO CSV
E Statement of Holdings					♥ FILTER & EXPORT
TATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A 7	INVESTOR ID A 7	SPSA ACCOUNT A 👻			STATUS 🗠
EPORT TEMPLATES					
E SSTI Instruction Type				VIEW FILTER	DELETE
SI Instruction Type with 92,200 Quantity	у			A VIEW FILTER	DELETE
E STI Instruction Type				A VIEW FILTER	DELETE

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

Dashboard	Settlement Instructions Fun	nds	Relationships	Market Data	Reports
NAPSE REPORTS					
Daily Audit Trails				2022-01-07	T EXPORT TO CSV
Statement of Holdings					<b>▼ FILTER &amp; EXPORT</b>
ATEMENT OF HOLDING REPORT	SUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME A 7	INVESTOR ID A 🕈	SPSA ACCOUNT A 7	SUBSCRIP	TION DATE A 🔻	STATUS 🗠
PORT TEMPLATES					
SSTI Instruction Type			â	VIEW FILTER DELET	E ↑ EXPORT TO CSV
SI Instruction Type with 92,200 Quantit	ly			VIEW FILTER DELET	E ↑ EXPORT TO CSV
STI Instruction Type			<b>E</b> .	VIEW FILTER DELET	E

HKEX Synapse The Power of Connectivity.				🛦 Notifications 🗸 🖻 07 Jan	uary 2022 @ CP0040_UM 🗸 🚶
Dashboard	Settlement Instructions	Funds	Relationships	Market Data	Reports
≡ Statement of Holdings					▼ FILTER & EXPORT
STATEMENT OF HOLDING REPOR	TSUBSCRIPTIONS				+ NEW SUBSCRIPTION
PARTICIPANT NAME		SPSA ACCOUNT A 🔻	SUBSCRI	PTION DATE A F	STATUS 🗠
REPORT TEMPLATES					
$\equiv$ SI Instruction Type with 92,200 Quar	tity		±	VIEW FILTER DELET	↑ EXPORT TO CSV
■ STI Instruction Type				VIEW FILTER DELET	↑ EXPORT TO CSV

Note: the report template will be deleted even if it is shared with multiple people within an entity, and such record under the Report Template section will also be removed for all users within that entity upon the deletion. The individuals with who the report is shared will not receive a notification for the deletion of the report template.

# 11. Error Message

In this section, we document the error messages built into Synapse and its business rules, and provide suggestions for catering the message. For examples,

- 1. When encountering the error message "*No action required by your end* **[Category** (*number*)], the participant could refer to the table below to indicate their corresponding use case/scenario for further communication with the checker.
- 2. When encountering the error message "*System busy. Please try again later*.", the participant should wait and resubmit the request later.
- 3. When encountering the error message "Unexpected error encountered. Please contact support. Error reference: **[Trace ID]**.", the participant should capture the Trace ID shown in the error and contact Synapse Support. Further details can be referred in the table below.

Error ID	Categories	Error Message	Use Case	Business rules
1	Unexpected status upon checker 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	Categories	Error Message	Use	Business rules
ID			Case	Dejecting Fund Profile Proposal not in
				- 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:
			1.11	
				- Rejecting Fund Profile Proposal not in pending approval or GC Rejected
			1.12	This error id is encountered due to:
			1.12	- Unexpected status Variable Fee Proposal
				upon checker approval/rejection
			1.13	This error id is encountered due to:
			1.13	- Unexpected status SOH Subscription
				Proposal upon checker approval/rejection
			1.14	This error id is encountered due to:
			1.14	- Unexpected status Broadcast Message
				Proposal upon checker approval/rejection
-	Unexpected status	No action required	2.1	This error id is encountered due to:
2	upon checker	by your end	2.1	
	amendment			- Unexpected status Fund Profile Proposal upon checker amendment
	amenument	[Category 2]	2.2	This error id is encountered due to:
			2.2	
				- Unexpected status Fund Proposal upon
			2.2	checker amendment
			2.3	This error id is encountered due to:
				- Unexpected status Standard Fee
0			24	Proposal upon checker amendment This error id is encountered due to:
3	Not Active	No action required	3.1	
		by your end		- Billing Fee is not Active during amendment
		[Category 3]	3.2	This error id is encountered due to:
			3.2	
				- Fund Data is not Active during inactivation
			3.3	This error id is encountered due to:
			3.3	- Fund Data is not Active during
				amendment
4	System busy	System busy.	4.1	This error id is encountered due to:
4	System busy	Please try again	4.1	- System busy. Participant should wait and
		later.		resubmit the request later.
5	Unexpected error	Unexpected error	5.1	This error id is encountered due to:
	encountered	encountered.	0.1	- Unexpected backend error. Participant
	Choodingorod	Please contact		should capture the Trace ID and contact
		support. Error		the Synapse Support Team
		reference: [Trace		
		ID].		Note: The participant must provide the
				Trace ID from the error message when
				requesting Synapse Support.
				requesting synapse support.

# 12. API Connectivity

# **12.1 API Specification Documentation**

Synapse applicants / Existing Synapse users who will access Synapse via API are required to develop their system according to the following documentation.

Document	Description		
API Specification and Programming Guide – Functional Drop 6 (Jan 2024)	Functionality of the API and the recommended programming guidelines for participants.		
API Specification - Java and JavaScript sample codes	Sample program to illustrate how to execute different Synapse API functionalities.		
OpenAPI and AsyncAPI Specification	OpenAPI and AsyncAPI Specifications that cover features described in the API Specification and Programming Guide.		
Sample Requests and Responses for Core Functionality	Sample requests and responses to the core functionalities described in the API Specification and Programming Guide.		
Single Combined View (SCV) Business Description – Functional Drop 6 (Jan 2024)	Detail description of each SCV field and corresponding visibility matrix.		

Synapse applicants / Existing Synapse users can reach out to HKEX Synapse Operations Team at <a href="mailto:synapse\_support@hkex.com.hk">synapse\_support@hkex.com.hk</a> for accessing the above API documentation.

# 13. ISO Connectivity

### **13.1 How to submit CUG request in MySwift**

Please refer to "SWIFT Connectivity Setup Guide" available on HKEX Synapse website.

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

Please refer to "SWIFT Connectivity Setup Guide" available on HKEX Synapse website.

# 14. Billing of Synapse Fees

Synapse Fees are waived until further notice. Upon Hong Kong Securities Clearing Company Limited ("HKSCC") decides to end that fee waiver, this section will describe the billing process for Synapse related fees.