

DCASS Training Course Series

Objectives

The course is designed to provide participants the knowledge of the clearing and settlement operations of the derivatives clearing houses. The daily clearing activities and collateral management of futures and options contracts will also be included.

Course Content

Course 1 – Understanding of Derivatives Clearing

- The Structure of Clearing Houses
- Clearing and Settlement Systems
- Clearing Accounts
- DCASS Trade Management
- DCASS Position Management
- Collateral Management
- PRIME & Margin Calculation

Course 2 – DCASS Terminal Training

- Introduction
- DCASS Operation
 - Logon & logoff
 - Database Monitoring
 - Trade Management
 - Position Management
 - Stock Options Related
 - Report Explanation
 - Report Download
 - Margin Related
 - Post-trade Transaction On-Behalf Input

Course 3 – CCMS Training

- CCMS Operation
 - Logon & logoff
 - Delegated Management System
 - Collateral Management
 - Stock Options Related
 - Report Explanation
 - Report Download
 - Back-up Center
- Communication Channel
- Hotline Service

Course Instructors

All the instructors are experienced securities practitioners from Hong Kong Exchanges and Clearing Limited (HKEx) and Hong Kong Securities Clearing Company Limited (HKSCC).

Instructor for Course 1 has relevant experience in cash and derivatives risk management and now responsible for the risk monitoring and assessment. Instructor for Courses 1-3 has relevant experience in derivatives service industry and responsible for project management.

Who Should Attend

Responsible officers, operations staff (in particular back office settlement staff), sales staff and account executives of brokerage firms.

衍生產品結算及交收系統課程系列(DCASS)

課程目的

此課程為參與者講解衍生產品結算所之結算及交收程序的運作，與及期貨和期權合約每日結算活動及抵押品管理的資料。

課程內容

課程一：衍生產品結算

- 結算所的結構
- 結算及交收系統
- 結算戶口
- DCASS 交易管理
- DCASS 持倉管理
- 抵押品管理
- PRIME 按金計算的概括

課程二：衍生產品及結算交收系統(DCASS)終端機培訓

- 簡介
- 衍生產品及結算交收系統 (DCASS) 的運作
- 登入及離開
- 資料庫監察
- 交易管理
- 持倉管理
 - 股票期權有關資料
 - 解說報表
 - 報表下載
 - 按金有關資料
 - 代參與者輸入衍生產品及結算交收系統 (DCASS) 的後交易

課程三：共同抵押品管理系統(CCMS)培訓

- 共同抵押品管理系統(CCMS)的運作
 - 登入及離開
 - 管理系統 (DMS)
 - 抵押品管理
 - 股票期權有關資料
 - 解說報表
 - 報表下載
 - 終端機後援中心
- 通訊渠道
- 熱線服務

課程講師

所有講師均為香港交易及結算所有限公司及香港中央結算有限公司(香港結算)之專業證券從業員。課程一講師具有現貨市場及衍生產品風險管理的工作經驗，負責風險監控及評估工作。課程一至三之講師具有衍生產品服務行業的經驗，負責項目管理。

適合報讀之人士

經紀商的高級負責人員、後勤操作人員(特別是負責證券交收之人員)、銷售人員及客戶代表。

DCASS Series Appendix 1

Course Instructor's Profile

Course Instructors	Experiences	Responsible DCASS Course
Ms. Tanya Lam	- Experienced in derivatives service industry and responsible for providing trainings on customer support and helpdesk services to clearing houses participants	Course 1
Miss. Iris Lui	- Experienced in in cash and derivatives risk management - Responsible for the risk monitoring and assessment for the HKFE Clearing Corporation (HKCC) and The SEHK Options Clearing House Limited (SEOCH)	
Mr. Willy So	- Experienced in derivatives service industry and responsible for providing customer support and helpdesk services to clearing houses participants	Course 2
Ms. May Mak	- Experienced in securities and derivatives service industry respectively - Responsible for team training in providing customer support and helpdesk services to clearing house participants	Course 3

Course Schedules and Administrative Details

		Course 1	Course 2	Course 3
Course Code		TPPFR17004204	TPPFR17004304	TPPFR17004404
Course Date & Time		06/11/2017 (Monday)	09/11/2017 (Thursday)	09/11/2017 (Thursday)
		2:00PM – 4:00PM	9:30AM – 11:30AM	2:30PM – 4:30PM
Language		Cantonese (supplement with English materials)		
Venue		Hong Kong Securities and Investment Institute 5/F Wing On Centre, 111 Connaught Road, Central, Hong Kong		
Course Fees	HKSI Member* OR Exchange Participant	HK\$320	HK\$320	HK\$320
	Non-member	HK\$500	HK\$500	HK\$500
SFC Recognisable CPT hour(s)		2 hours	2 hours	2 hours
Remarks:				
<ul style="list-style-type: none"> ◆ Priority will be given to Exchange Participants of HKEx and those applying to attend all courses. ◆ If any course(s) is/are cancelled due to inadequate enrolment, the participant can choose to transfer to the next intake or a refund. 				

*HKSI Institute's Member includes Individual Member, staff of HKSI Institute Corporate Member and Student Member.

DCASS 系列附件一

課程講師資料

課程講師	講師經驗	講師負責之 DCASS 課程
林梓瑩小姐	- 具有衍生產品服務行業的經驗，並負責培訓結算所參與者客戶支援及服務熱線工作隊伍	課程一
雷露露小姐	- 具有現貨市場及衍生產品風險管理的工作經驗 - 負責香港期貨交易所結算所及聯交所期權結算所的風險監控及評估工作	
蘇志華先生	- 具有衍生產品服務行業的經驗，負責為結算所參與者提供客戶支援及熱線服務的工作。	課程二
麥月媚小姐	- 具有股票及衍生產品服務行業的經驗 - 現負責培訓結算所參與者客戶支援及服務熱線工作隊伍	課程三

課程資料

	課程一	課程二	課程三	
課程編號	TPPFR17004204	TPPFR17004304	TPPFR17004404	
課程日期及時間	2017 年 11 月 06 日 (星期一)	2017 年 11 月 09 日 (星期四)	2017 年 11 月 09 日 (星期四)	
	下午 2 時正 至 下午 4 時正	上午 9 時 30 分 至 上午 11 時 30 分	下午 2 時 30 分 至 下午 4 時 30 分	
授課語言	粵語 (輔以 <u>英文</u> 教材)			
授課地點	香港證券及投資學會 香港干諾道中 111 號永安中心 5 樓			
費用	HKSI 會員* 或 交易所參與者	HK\$320	HK\$320	HK\$320
	非會員	HK\$500	HK\$500	HK\$500
香港證監會認可的持續培訓時數	2 小時	2 小時	2 小時	
備注：	<ul style="list-style-type: none"> 交易所參與者或同時報讀五個課程之人士可享有優先被取錄的資格。 如有課程因收生不足而取消，參與者可選擇申請轉到同課程的另一時段或申請退回該課程之學費。 			

*HKSI 會員包括個人會員、HKSI 團體會員之員工及學生會員。