

## 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).

Instructors for Course 1 have relevant experience in cash and derivatives risk management and now responsible for the risk monitoring and assessment. Instructors for Courses 1-3 have relevant experience in derivatives service industry and responsible for project management. Please refer to Appendix 1 for their profiles.

### 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。有關講師之履歷可參閱附件一。

### 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 (TBC)	Experiences	Responsible DCASS Course
Ms. Tanya Lam	<ul style="list-style-type: none"> <li>- Experienced in derivatives service industry</li> <li>- Responsible for providing trainings on customer support and helpdesk services to clearing houses participants</li> </ul>	Course 1
Miss. Iris Lui	<ul style="list-style-type: none"> <li>- Experienced in in cash and derivatives risk management</li> <li>- Responsible for the risk monitoring and assessment for the HKFE Clearing Corporation (HKCC) and The SEHK Options Clearing House Limited (SEOCH)</li> </ul>	
Mr. Willy So	<ul style="list-style-type: none"> <li>- Experienced in derivatives service industry</li> <li>- Responsible for providing customer support and helpdesk services to clearing houses participants</li> </ul>	Course 2
Ms. May Mak	<ul style="list-style-type: none"> <li>- Experienced in securities and derivatives service industry respectively</li> <li>- Responsible for team training in providing customer support and helpdesk services to clearing house participants</li> </ul>	Course 3

### Course Schedules and Administrative Details

		Course 1	Course 2	Course 3
<b>Course Code</b>		TJRFR18004101	TJRFR18004201	TJRFR18004301
<b>Course Date &amp; Time</b>		07/05/2018 (Monday)	10/05/2018 (Thursday)	10/05/2018 (Thursday)
		2:00PM – 4:00PM	9:30AM – 11:30AM	2:30PM – 4:30PM
<b>Language</b>		Cantonese (supplement with <b>English</b> materials)		
<b>Venue</b>		Hong Kong Securities and Investment Institute 5/F Wing On Centre, 111 Connaught Road, Central, Hong Kong		
<b>Course Fees</b>	<b>HKSI Member* OR Exchange Participant</b>	HK\$420	HK\$420	HK\$420
	<b>Non-member</b>	HK\$840	HK\$840	HK\$840
<b>SFC Recognisable CPT hour(s)</b>		2 hours	2 hours	2 hours
<b>Remarks:</b>				
<ul style="list-style-type: none"> <li>• Priority will be given to Exchange Participants of HKEx and those applying to attend all courses.</li> <li>• If any course(s) is/are cancelled due to inadequate enrolment, the participant can choose to transfer to the next intake or a refund.</li> <li>• The Hong Kong Exchanges and Clearing Limited (“HKEx”) Participant can attend the course at the discounted fee, i.e. the lower course fee as HKSI Member or staff of HKSI Corporate Member.</li> <li>• Ways to get discount: <ul style="list-style-type: none"> <li>- Simply enrol online (with the normal course fee)</li> <li>- On the day of the training course: <ol style="list-style-type: none"> <li>1. bring your business card and the HKEx Participant ID number</li> <li>2. fill in a simple form and return to HKSI Institute</li> </ol> </li> </ul> </li> </ul>				

\*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 (待定)	講師經驗	講師負責之 DCASS 課程
林梓瑩小姐	<ul style="list-style-type: none"> <li>具有衍生產品服務行業的經驗</li> <li>負責培訓結算所參與者客戶支援及服務熱線工作隊伍</li> </ul>	課程一
雷露露小姐	<ul style="list-style-type: none"> <li>具有現貨市場及衍生產品風險管理的工作經驗</li> <li>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</li> </ul>	
蘇志華先生	<ul style="list-style-type: none"> <li>具有衍生產品服務行業的經驗</li> <li>負責為結算所參與者提供客戶支援及熱線服務的工作</li> </ul>	課程二
麥月媚小姐	<ul style="list-style-type: none"> <li>具有股票及衍生產品服務行業的經驗</li> <li>現負責培訓結算所參與者客戶支援及服務熱線工作隊伍</li> </ul>	課程三

### 課程資料

		課程一	課程二	課程三
課程編號		TJRFR18004101	TJRFR18004201	TJRFR18004301
課程日期及時間		2018年05月07日 (星期一)	2018年05月10日 (星期四)	2018年05月10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\$420	HK\$420	HK\$420
	非會員	HK\$840	HK\$840	HK\$840
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"> <li>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。</li> <li>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。</li> <li>香港交易及結算所有限公司（“聯交所”）參與者可以優惠價（相等於 HKSI 會員或 HKSI 機構會員）的費用參加課程。 如何獲得優惠價： <ul style="list-style-type: none"> <li>只需在 HKSI 網站報名（非會員費用）</li> <li>培訓課程當天： <ol style="list-style-type: none"> <li>1. 帶備您的公司名片和聯交所參與者 ID 號碼</li> <li>2. 填寫簡單的表格並交回本會</li> </ol> </li> </ul> </li> </ul>				

\*HKSI 會員包括個人會員、HKSI 團體會員之員工及學生會員。