

CCASS Training Course Series

Objectives

The course is designed to provide participants the knowledge of the clearing and settlement operations of the securities clearing house. Nominees Services and Fails and Risk Management will also be covered.

Course Content

Course 1 – Understanding of Securities Clearing & Settlement

- CCASS Service
- Key Features
- Clearing & Settlement
- Depository
- Nominees Service
- Fails & Risk Management

Course 2 – Clearing & Settlement (Part I)

- CCASS Logon & Logoff
- Types of Transaction
- Exchange Trades
 - Continuous Net Settlement (CNS)
 - Isolated Trade (IT)
- Non-Exchange Trades
 - Settlement Instruction (SI)
 - Investor Settlement Instruction (ISI)

Course 3 – Clearing & Settlement (Part II)

- Enquire Settlement Activities
- Settlement Related Report
- Stock Segregated Account with Statement Service (SSA)
- Investor Participant (IP) Account Services
- Report Download
- Delegated Management System (DMS)

Course 4 – Depository & Nominee System (DNS)

- Depository Services
 - Deposit of shares
 - Withdrawal of shares
- Corporate Communications
 - Input Function
 - File Transfer
- Electronic Initial Public Offering (EIPO)
 - Input Function
 - File Transfer
- Common Nominees System
 - Features
 - Nominee Functions
 - Entitlement Statement

Course 5 – Fails and Risk Management

- Risk Management
 - Guarantee Fund
 - Marks
 - Margin
 - MSTD
 - MSCD
- Fails Management
- Common Collateral Management System (CCMS)
 - CCMS Functions
 - CCMS Reports

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 Courses 1-4 are currently responsible for providing customer support and helpdesk services to clearing house participants. Instructors for Course 5 are responsible for risk monitoring and assessment. 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.

中央結算及交收系統課程系列(CCASS)

課程目的

此課程為參與者講解結算所的一般運作，讓學員對中央結算及交收系統(CCASS)運作有基本認識。課程亦會簡介代理人服務及風險管理措施。

課程內容

課程一：現貨結算及交收

- 中央結算及交收系統(CCASS)服務
- 主要特點
- 結算及交收服務
- 存管服務
- 代理人服務
- 風險管理措施

課程二：結算及交收(第一部份)

- 登入及離開中央結算及交收系統
- 交易類別
- 聯交所交易
 - 持續淨額交收 (CNS)
 - 已劃分的買賣 (IT)
- 非聯交所交易
 - 交收指示 (SI)
 - 投資者交收指示 (ISI)

課程三：結算及交收(第二部份)

- 查詢交收活動
- 解說交收報表
- 附寄結單服務的股份獨立戶口 (SSA)
- 投資者戶口 (IP) 服務
- 報表下載
- 管理系統 (DMS)

課程四：存管及代理人系統

- 存管服務
 - 存入證券
 - 提取證券
- 公司通訊
 - 輸入功能
 - 整批檔案傳送功能
- 電子認購新股 (EIPO)
 - 輸入功能
 - 整批檔案傳送功能
- 代理人服務
 - 特點
 - 代理人功能
 - 權益報表

課程五：未能如期交收管理及風險管理

- 風險管理
 - 擔保基金
 - 計價
 - 孖展
 - 內地結算備付金
 - 內地證券結算保證金
- 未能如期交收管理
- 共同抵押品管理系統 (CCMS)
 - 共同抵押品管理系統功能
 - 共同抵押品管理系統報表

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。課程一至四的講師都是現時負責為結算所參與者提供服務及支援；課程五之講師則主要負責風險監控及管理。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。

CCASS Series Appendix 1

Instructor's Profile

Course Instructors (TBC)	Experiences	Responsible CCASS Course(s)
Ms. Sharon Ma	<ul style="list-style-type: none"> - Experienced in securities service industry - Supervisor of support team in customer support and helpdesk services to clearing houses participants on daily CCASS operation 	Course 1
Ms. Selma Wong	<ul style="list-style-type: none"> - Experienced in securities service industry - Responsible for providing customer support and helpdesk services to clearing houses participants 	Course 2
Ms. Catherine Wong		Course 2 and Course 4
Ms. Flora Yeung		Course 3
Ms. May Mak		Course 4
Mr. Willy So		Course 5 (Fails Management & CCMS)
Ms. Tanya Lam		Course 5 (Risk Management)
Ms. Grace Yiu	<ul style="list-style-type: none"> - Experienced in securities service industry - Responsible for the Cash Clearing risk monitoring and assessment for Hong Kong Securities Clearing Company Limited (HKSCC) 	Course 5 (Risk Management)

Course Schedules and Administrative Details

	Course 1	Course 2	Course 3	Course 4	Course 5	
Course Code	TJRFR19003602	TJRFR19003702	TJRFR19003802	TJRFR19003902	TJRFR19004002	
Course Date & time	04/11/2019 (Monday)	05/011/2019 (Tuesday)	05/11/2019 (Tuesday)	06/11/2019 (Wednesday)	06/11/2019 (Wednesday)	
	9:30AM – 11:30AM	9:30AM – 12:30PM	2:30PM – 5:30PM	9:30AM – 12:30PM	2:30PM – 5:30PM	
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\$440	HK\$660	HK\$660	HK\$660	HK\$660
	Non-member	HK\$880	HK\$1320	HK\$1320	HK\$1320	HK\$1320
SFC Recognisable CPT hour(s)	2 hours	3 hours	3 hours	3 hours	3 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. • 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. Ways to get discount: <ul style="list-style-type: none"> - Simply enrol online (with the normal course fee) - On the day of the training course: <ol style="list-style-type: none"> 1. bring your business card and the HKEx Participant ID number 2. fill in a simple form and return to HKSI Institute 						

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

CCASS 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 CCASS 課程
馬淑雲小姐	- 具有證券服務行業經驗 - 現職香港交易及結算所結算支援服務部，為結算所參與者就中央結算及交收系統 (CCASS) 之日常運作方面提供客戶支援服務	課程一
王思敏小姐	- 具有證券服務業經驗 - 現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
王嘉怡小姐		課程二及課程四
楊慧敏小姐		課程三
麥月媚小姐		課程四
蘇志華先生		
林梓瑩小姐		課程五 < 未能如期交收管理及共同抵押品管理系統(CCMS) >
姚佩玲小姐	- 具有證券服務行業的經驗 - 負責香港中央結算有限公司的風險監控及評估工作	課程五 <未能如期交收管理風險管理>

課程資料

		課程一	課程二	課程三	課程四	課程五
課程編號		TJRFR19003602	TJRFR19003702	TJRFR19003802	TJRFR19003902	TJRFR19004002
課程日期及時間		2019年11月04日 (星期一)	2019年11月05日 (星期二)	2019年11月05日 (星期二)	2019年11月06日 (星期三)	2019年11月06日 (星期三)
		上午9時30分 至 上午11時30分	上午9時30分 至 下午12時30分	下午2時30分 至 下午5時30分	上午9時30分 至 下午12時30分	下午2時30分 至 下午5時30分
授課語言		粵語 (輔以英文教材)				
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\$440	HK\$660	HK\$660	HK\$660	HK\$660
	非會員	HK\$880	HK\$1320	HK\$1320	HK\$1320	HK\$1320
香港證監會認可的 持續培訓時數		2 小時	3 小時	3 小時	3 小時	3 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。 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"> 只需在 HKSI 網站報名（非會員費用） 培訓課程當天： <ol style="list-style-type: none"> 帶備您的公司名片和聯交所參與者 ID 號碼 填寫簡單的表格並交回本會 						

*HKSI 會員包括個人會員、HKSI 團體會員之員工及學生會員。