

APEX Clear System

User Guide

(Member)

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1 INTRODUCTION

1.1 Interface

The APEX Clear System contains various perspectives, views and functions. There are eight perspectives, namely **Trading**, **Positions**, **Post Trade**, **Risk**, **Reference Data**, **Collateral**, **File Upload** and **Reporting**. Each perspective consists of a collection of functionally related views. A view usually displays a table of data and/or display a tree with groups of data. The detailed functions of each perspective will be introduced in the corresponding chapters and sections.

1.2 System Access and Cut-off Timings

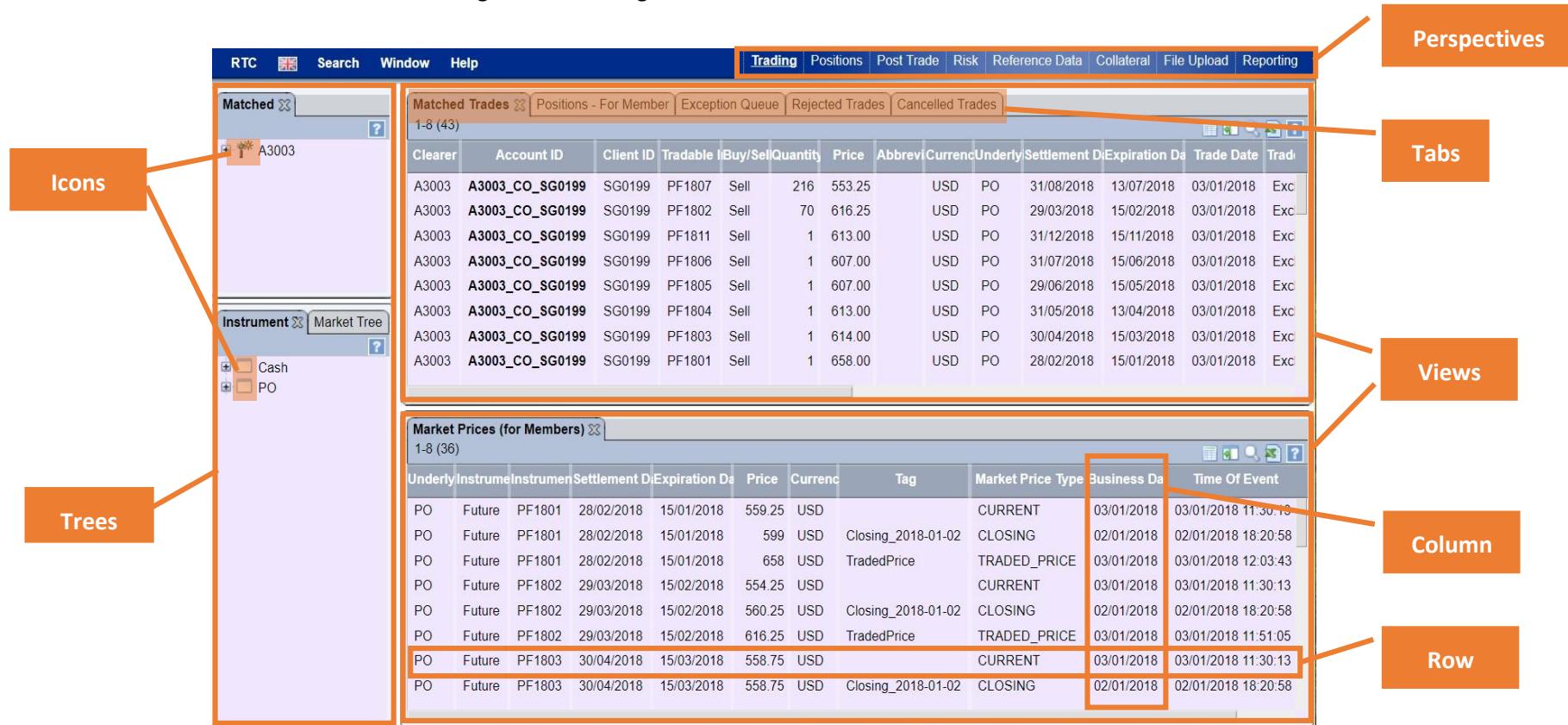
Please note the following system access timing and various cut-off timings for different functions*.

| | |
|--------------------------|--|
| 0630 – 0530 (T+1) | System Access |
| 1030 | Cut-off time for Collateral Withdrawal Applications |
| 1700 | Cut-off time for Collateral Deposit Applications <i>*Note: Deposit applications will not be accepted between 1130 to 1230</i> |
| 1900 | Cut-off time for 1. Give Up/ Take Up 2. Trade Transfer 3. Position Transfer Application |
| 1915 | Start of Position Close Out |
| 2000 | Cut-off time for Position Close Out |

*Timings shown are Singapore time.

1.3 Legends

- The orange box  represents key information to take note of.
- *Words in orange* through this user guide represent the terms found in APEX Clear System. ➤ The following diagram indicates the terms that will be used throughout this user guide.



2 GENERAL

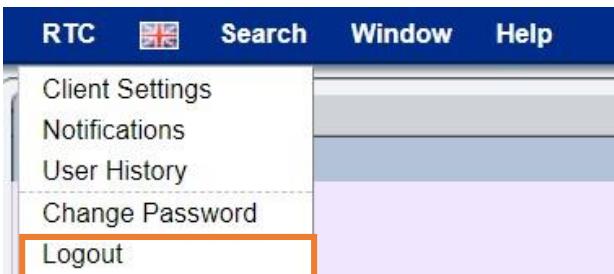
2.1 Accessing and Exiting APEX Clear System

To Access the APEX Clear System



1. Open an Internet browser and type the link <<http://192.168.11.30:8082/apex/>> to access the APEX Clear System.
2. Type in the Member ID, user, and password. Click *Login*.
 - In the event of a disaster failover, please use this secondary link:
<<http://192.168.111.30:8082/apex/>>
 - The user account will be locked if the current password is keyed incorrectly for more than three times. Please contact your administrator to unlock your account.

To Exit the APEX Clear System



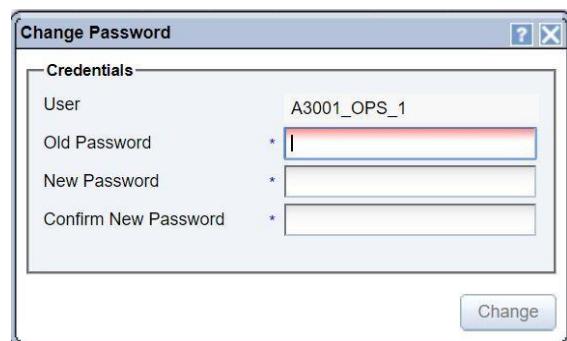
1. At the top left hand corner of the screen, click *RTC* and select *Logout*.
 - During the next login session, the system view will appear exactly as it was when last closed.

2.2 Password

To Change Password



1. Click **RTC** and select **Change Password**.



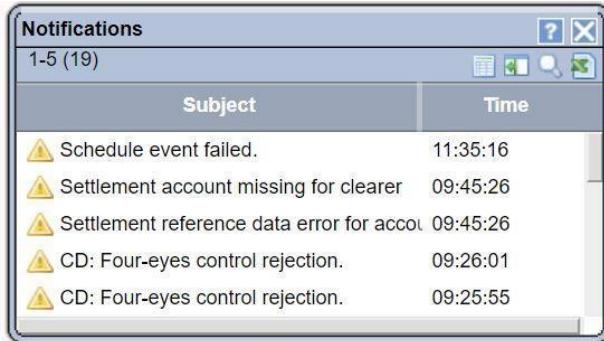
2. Enter a new password and select **Change**.

- The new password must conform to the requirements of having a minimum length of eight characters and at least one of which must be a digit and letter.
- Do note that a password's lifetime will only last for 90 days.
- To reset password, please refer to [7.3 Users](#).

2.3 Notifications



1. Click on the **Envelope Icon** at the bottom right to view notifications.



2. To show notification details, double-click on the *Notice Icon*.



- **Alert Message:** A notification on events that requires the attention of the User.
- **Market Message:** An announcement broadcasted by the Clearing House.

2.4 Display Configuration

2.4.1 Working with Perspectives

To Reset Perspectives

| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sell | Quantity | Price | Abbreviated Price | Currency | Underlying | Settlement Date | Expiration Date |
|---------|-------------|-----------|---------------------|----------|----------|--------|-------------------|----------|------------|-----------------|-----------------|
| A3001 | A3001_CN_01 | ABC | PF1812 | Buy | 234 | 556.75 | USD | PO | 31/01/2019 | 14/12/2018 | |
| A3001 | A3001_CN_A | ABC | PF1812 | Buy | 198 | 556.75 | USD | PO | 31/01/2019 | 14/12/2018 | |
| A3001 | A3001_CN_A | ABC | PF1804 | Sell | 265 | 558.50 | USD | PO | 31/05/2018 | 13/04/2018 | |
| A3001 | A3001_PN_Q | QWEF | PF1806 | Buy | 345 | 557.00 | USD | PO | 31/07/2018 | 15/06/2018 | |

| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sell Quantity | Price | Abbreviated Price | Currency | Underlying | Settlement Date | Expiration Date |
|---------|-----------------|-----------|---------------------|-------------------|--------|-------------------|----------|------------|-----------------|-----------------|
| A3001 | A3001_CN_003108 | ABC | PF1812 | Buy 234 | 556.75 | USD | PO | 31/01/2019 | 14/12/2018 | |
| A3001 | A3001_CN_ABC | ABC | PF1812 | Buy 198 | 556.75 | USD | PO | 31/01/2019 | 14/12/2018 | |
| A3001 | A3001_CN_ABC | ABC | PF1804 | Sell 265 | 558.50 | USD | PO | 31/05/2018 | 13/04/2018 | |
| A3001 | A3001_PN_QWERT | QWERT | PF1806 | Buy 345 | 557.00 | USD | PO | 31/07/2018 | 15/06/2018 | |

1. Click *Window* and select *Reset Perspective*. The system display will return to its default view.

To View Perspectives

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- To go to a perspective, click **Window** and select **Show Perspective**. Select the perspective from the dropdown list.



- Alternatively, navigate between the perspectives via the **Perspective Tabs** found at the top right hand corner.

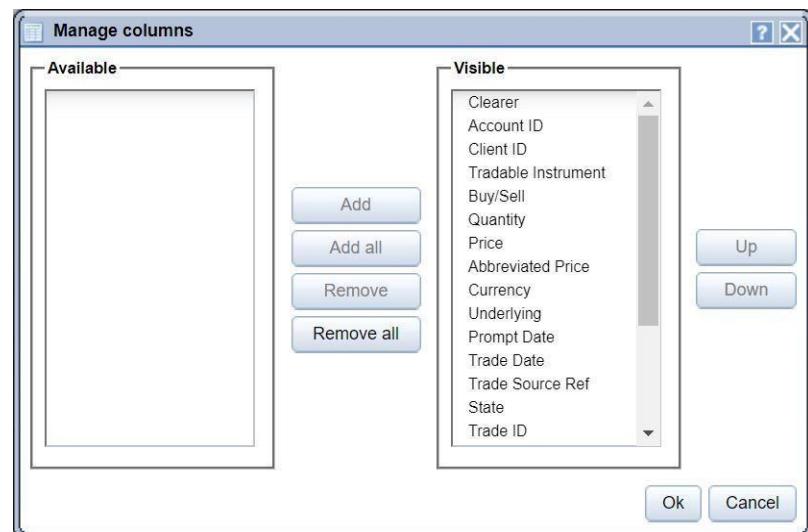
2.4.2 Icon Introduction

| Matched Trades | | | | | | | | | | | |
|---|----------------|-----------|---------------------|----------|----------|--------|-------------------|----------|------------|-----------------|------------|
| Positions - For Member Exception Queue Rejected Trades Cancelled Trades | | | | | | | | | | | |
| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sell | Quantity | Price | Abbreviated Price | Currency | Underlying | Settlement Date | Expiration |
| A3001 | A3001_CN_ASDFG | ASDFG | PF1804 | Sell | 14 | 558.50 | | USD | PO | 31/05/2018 | 13/04/2018 |
| A3001 | A3001_CN_ASDFG | ASDFG | PF1811 | Sell | 15 | 557.00 | | USD | PO | 31/12/2018 | 15/11/2018 |
| A3001 | A3001_CN_ASDFG | ASDFG | PF1812 | Sell | 379 | 556.75 | | USD | PO | 31/01/2019 | 14/12/2018 |

| Market Prices (for Members) | | | | | | | | | | |
|-----------------------------|-----------------|------------|-----------------|-----------------|--------|----------|--------------------|-------------------|---------------|----|
| 1-14 (36) | | | | | | | | | | |
| Underlying | Instrument Type | Instrument | Settlement Date | Expiration Date | Price | Currency | Tag | Market Price Type | Business Date | U |
| PO | Future | PF1801 | 28/02/2018 | 15/01/2018 | 558.75 | USD | | CURRENT | 03/01/2018 | 03 |
| PO | Future | PF1801 | 28/02/2018 | 15/01/2018 | 599 | USD | Closing_2018-01-02 | CLOSING | 02/01/2018 | 02 |
| PO | Future | PF1801 | 28/02/2018 | 15/01/2018 | 559 | USD | TradedPrice | TRADED_PRICE | 03/01/2018 | 03 |

- This row of icons as shown above is found at the top right hand corner throughout all views in the APEX Clear System.

Display or Hide a Column



1. Click on the **First icon** to manage the column settings.
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Private and Confidential

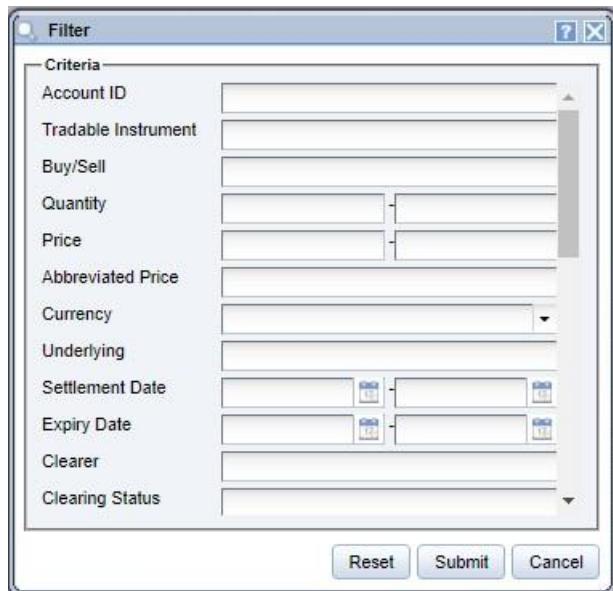
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2. To display a column in the table, select a column name in the **Available** list and select **Add**.
3. To display all columns in the table, select **Add All**.
4. To hide a column in the table, select a column name in the **Visible** list and select **Remove**.
5. To hide all columns in the table, select **Remove All**.
6. To move a column, select the column name in the **Visible** list and select **Up** or **Down**.
7. Click **OK** when the configuration is done.

Optimizing Column Widths

1. Click on the **Second Icon**  to optimize the column widths. **Search Function**
1. Click on the **Third Icon** 

to filter information according to the respective details above.



2. Click **Submit** when the search criteria have been filled.

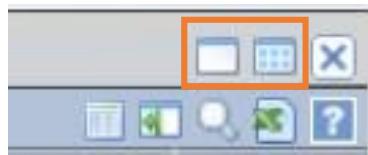
Exporting Table Contents to MS Excel

1. Click on the **Fourth Icon**  to export the table contents to Excel.



2. Click **OK** to confirm.

2.4.3 Display View

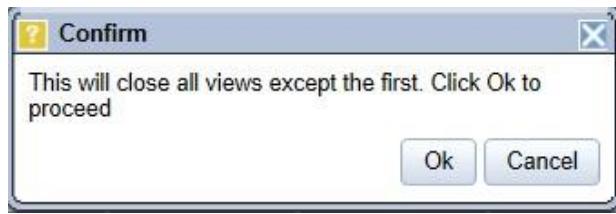


- This row of icons is found at the top right hand corner, above the *Icon Introduction*, throughout all views in the APEX Clear System.

Switch to a Single Layout

| Matched Trades | | | | | | | | |
|----------------|------------------------|-----------|---------------------|----------|----------|--------|----------|------------|
| 1-4 (40) | | | | | | | | |
| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sell | Quantity | Price | Currency | Underlying |
| A3001 | A3001_PO_MAMEE | | PF1805 | Buy | 30 | 688.00 | USD | PO |
| A3001 | A3001_CN_SHELTO | | PF1805 | Sell | 30 | 688.00 | USD | PO |

1. Click on the *First Icon*  to switch the view to a single layout.



2. Click *Ok* to confirm to all the views except the first view.

| Matched Trades 1-5 (87) | | | | | | | | |
|-------------------------|-----------------------|-----------|---------------------|----------|----------|--------|----------|------------|
| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sell | Quantity | Price | Currency | Underlying |
| A3001 | A3001_CN_ABC | ABC | PF1804 | Buy | 25 | 711.50 | USD | PO |
| A3001 | A3001_PO_MAMEE | | PF1805 | Buy | 30 | 688.00 | USD | PO |

3. Once confirmed, a single tab will be viewed at the top while the remaining tabs will be closed.

- To reset to the original view, please refer to [2.4.1 Working with Perspectives](#).

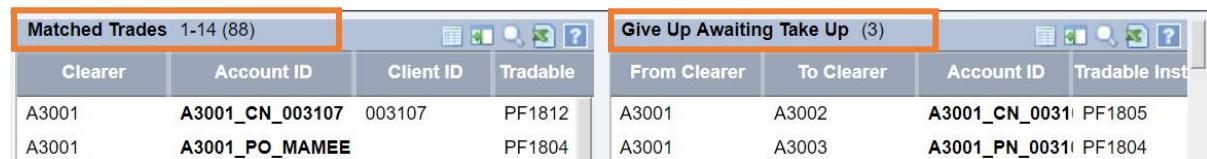
Switch to a Grid Layout



The screenshot shows a table with columns: Clearer, Account ID, Client ID, Tradable Instrument, Buy/Sell, Quantity, Price, Currency, and Underlying. Two rows of data are visible:

| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sell | Quantity | Price | Currency | Underlying |
|---------|-----------------|-----------|---------------------|----------|----------|--------|----------|------------|
| A3001 | A3001_PO_MAMEE | | PF1805 | Buy | 30 | 688.00 | USD | PO |
| A3001 | A3001_CN_SHELTO | | PF1805 | Sell | 30 | 688.00 | USD | PO |

- Click on the *Second Icon*  to switch the view to a grid layout.



The screenshot shows two tabs open side-by-side:

- Matched Trades 1-14 (88)**: Shows a list of trades with columns: Clearer, Account ID, Client ID, and Tradable.
- Give Up Awaiting Take Up (3)**: Shows a list of trades with columns: From Clearer, To Clearer, Account ID, and Tradable Inst.

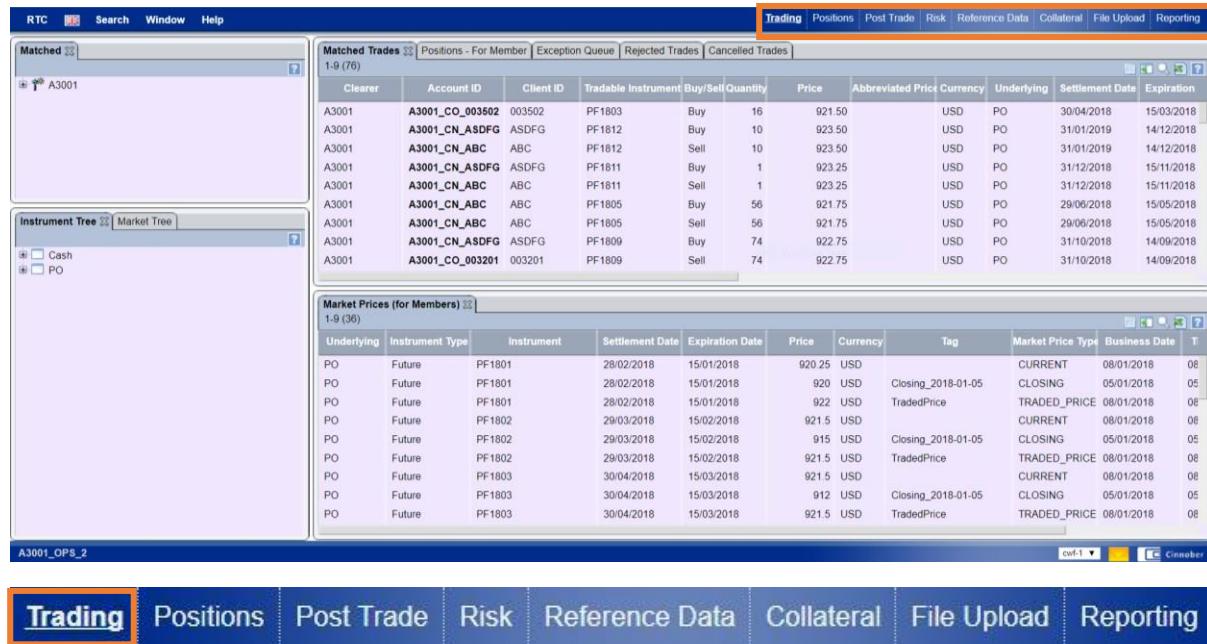
| Clearer | Account ID | Client ID | Tradable |
|---------|-----------------|-----------|----------|
| A3001 | A3001_CN_003107 | 003107 | PF1812 |
| A3001 | A3001_PO_MAMEE | | PF1804 |

| From Clearer | To Clearer | Account ID | Tradable Inst |
|--------------|------------|---------------|---------------|
| A3001 | A3002 | A3001_CN_0031 | PF1805 |
| A3001 | A3003 | A3001_PN_0031 | PF1804 |

- Once clicked, each tab will be viewed in a separate tab.

➤ To reset the original view, please refer to [2.4.1 Working with Perspectives](#).

3 TRADING PERSPECTIVE



The screenshot shows the Trading Perspective interface with several windows open:

- Matched Trades**: Shows a list of trades with columns: Clearer, Account ID, Client ID, Tradable Instrument, Buy/Sell, Quantity, Price, Abbreviated Price, Currency, Underlying, Settlement Date, and Expiration.
- Market Prices (for Members)**: Shows a list of market prices with columns: Underlying, Instrument Type, Instrument, Settlement Date, Expiration Date, Price, Currency, Tag, Market Price Type, Business Date, and T.
- Instrument Tree**: Shows a tree view of instruments, with nodes for Cash and PO.

At the bottom, there is a navigation bar with tabs: **Trading**, Positions, Post Trade, Risk, Reference Data, Collateral, File Upload, and Reporting. The **Trading** tab is highlighted.

The **Trading Perspective** displays market prices and details of top day trades. Trade transfer and giveup can be performed here. For details on give-up, please refer to [Section 5 Post Trade Perspective](#).

3.1 Trade Transfer

To Issue a Trade Transfer

| Matched Trades | | | | | | | Positions - For Member | Exception Queue | Rejected Trades | Cancelled Trades |
|----------------|--------------|-----------|----------|----------|----------|--------|------------------------|-----------------|-----------------|------------------|
| Clearer | Account ID | Client ID | Tradable | Buy/Sell | Quantity | Price | Abbreviation | Currency | Underlying | |
| A3001 | A3001_CO_ASH | ASH | PF1812 | Sell | 50 | 912.00 | USD | SGD | PO | |
| Trade Details | | | | | | | | | | |
| Give Up Trade | | | | | | | | Trade Transfer | | |

1. Under the *Matched Trades Tab*, right-click on the corresponding *Trade Row* and select *Trade Transfer*.

| | | | | | | | | | | | | | |
|--|------------------|---------------------|--------------|-----------------|------------------|-------------------|----|----------------------|------|----|-----------|--------|--|
| Trade Transfer | | | | | | | | | | | | | |
| Trade <table border="1"> <tr> <td>Tradable Instrument</td> <td>PF1812</td> </tr> <tr> <td>Trade ID</td> <td>1151503705691702</td> </tr> <tr> <td>Original Quantity</td> <td>50</td> </tr> <tr> <td>Buy/Sell</td> <td>Sell</td> </tr> </table> | | Tradable Instrument | PF1812 | Trade ID | 1151503705691702 | Original Quantity | 50 | Buy/Sell | Sell | | | | |
| Tradable Instrument | PF1812 | | | | | | | | | | | | |
| Trade ID | 1151503705691702 | | | | | | | | | | | | |
| Original Quantity | 50 | | | | | | | | | | | | |
| Buy/Sell | Sell | | | | | | | | | | | | |
| Source <table border="1"> <tr> <td>From Account ID</td> <td>A3001_CO_ASH</td> </tr> </table> | | From Account ID | A3001_CO_ASH | | | | | | | | | | |
| From Account ID | A3001_CO_ASH | | | | | | | | | | | | |
| Destination <table border="1"> <tr> <td>Account</td> <td>*</td> <td>A3001_CO_003101</td> </tr> <tr> <td>Business Unit</td> <td colspan="2"></td> </tr> <tr> <td>Quantity to transfer</td> <td>*</td> <td>50</td> </tr> <tr> <td>Client ID</td> <td colspan="2">003101</td> </tr> </table> | | Account | * | A3001_CO_003101 | Business Unit | | | Quantity to transfer | * | 50 | Client ID | 003101 | |
| Account | * | A3001_CO_003101 | | | | | | | | | | | |
| Business Unit | | | | | | | | | | | | | |
| Quantity to transfer | * | 50 | | | | | | | | | | | |
| Client ID | 003101 | | | | | | | | | | | | |
| Submit | | | | | | | | | | | | | |

2. Enter the receiving position account ID and the quantity to transfer. Click *Submit* to confirm.

| Matched Trades | | | | | | | Positions - For Member | Exception Queue | Rejected Trades |
|----------------|-----------------|-----------|----------|----------|----------|--------|------------------------|-----------------|-----------------|
| Clearer | Account ID | Client ID | Tradable | Buy/Sell | Quantity | Price | Abbreviation | Currency | Underlying |
| A3001 | A3001_CO_003101 | 003101 | PF1812 | Sell | 50 | 912.00 | USD | SGD | PO |
| Trade Details | | | | | | | | | |

3. Once submitted, the trades will be transferred to the new position account.

- Trade transfer is only applicable to top day trades and the transfer is within the same Member.
- For an alternative trade transfer method, please refer to *Section 9 File Upload Perspective*.

To Issue a Trade Transfer within the Same Account but Different Business Unit

| Matched Trades | | | | | | | |
|------------------------------|----------------|------------|-----------|----------|----------|----------|----------------|
| Clearer | | Account ID | Client ID | Tradable | Buy/Sell | Quantity | Price |
| 1-11 (12) Clearer = A3001 | | | | | | | |
| A3001 | A3001_CN_ASDFG | ASDFG | PF1807 | Buy | 100 | 706.25 | USD PO |
| A3001 | A3001_CN_ASH_2 | ASH_2 | PF1808 | Sell | 223 | 717.00 | Bust Trade |
| A3001 | A3001_CN_ASDFG | ASDFG | PF1810 | Sell | 258 | 712.00 | Give Up |
| A3001 | A3001_CN_ASDFG | ASDFG | PF1810 | Sell | 75 | 712.00 | Trade Transfer |

- Under the *Matched Trades Tab*, right-click on the corresponding *Trade Row* and select *Trade Transfer*.

The screenshot shows the 'Trade Transfer' dialog box divided into two main sections: 'Source' and 'Destination'. The 'Source' section contains fields for 'From Account ID' (A3001_CN_ASDFG) and 'Business Unit'. The 'Destination' section, which is highlighted with an orange border, contains fields for 'Account' (A3001_CN_ASDFG), 'Business Unit' (ASDFG_Trade02), 'Quantity to transfer' (100), and 'Client ID' (ASDFG). A 'Submit' button is located at the bottom right of the 'Destination' section.

- Enter the receiving position account ID, business unit and the quantity to transfer. Click *Submit* to confirm.

The screenshot shows two windows from the APEX trading platform:

- Matched Trades Window:** Displays a grid of trade details. One row is highlighted with an orange border, and its "Trade Details" button is also highlighted.
- Trade Details Window:** A modal dialog showing detailed information for the selected trade. It has two tabs: "Common" and "Details". The "Details" tab is active, showing fields like Clearer, Account ID, Trading Member, etc. The "Business Unit" field is highlighted with an orange border.
- Log Window:** Shows a log of events. An event from "05/02/2018 09:45:48" is highlighted with an orange border, indicating a "Trade Transfer In".

- Once submitted, to view the receiving business unit, right-click on the corresponding *Trade Row* and select *Trade Details*. The *Receiving Business Unit* and a *Trade Transfer In Log* will be shown.
 - Trade transfer is only applicable to top day trades and the transfer is within the same Member.
 - Trade transfer within the same account but different business unit is applicable to [3.2 Partial Trade Transfer](#) and [3.3 Multiple Trade Transfers](#).

3.2 Partial Trade Transfer

To Issue a Partial Trade Transfer

The screenshot shows a grid of trade rows. The "Quantity" column for the first row is highlighted with an orange border. A context menu is open over this row, with "Trade Details" and "Trade Transfer" options highlighted with orange borders.

- Under the *Matched Trades Tab*, right-click on the corresponding *Trade Row* and select *Trade Transfer*.

| | |
|---------------------|-------------------|
| Tradable Instrument | PF1803 |
| Trade ID | 1151991105674501 |
| Original Quantity | 499 |
| Buy/Sell | Buy |
| From Account ID | A3001_CN_00310104 |
| Business Unit | |

| | |
|----------------------|------------------|
| Destination | |
| Account | * A3001_CN_ASH_2 |
| Business Unit | |
| Quantity to transfer | * 99 |
| Client ID | ASH_2 |

- Select the receiving account and partial quantity to transfer. Click *Submit* to confirm.

| Matched Trades | | | | | | |
|----------------|-------------------|-----------|---------------------|---------|----------|--------|
| 1-7 (112) | | | | | | |
| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sel | Quantity | Price |
| A3001 | A3001_CN_ASH_2 | ASH_2 | PF1803 | Buy | 99 | 777.00 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1803 | Buy | 400 | 777.00 |

- Once submitted, the trades will split accordingly.

- Partial trade transfer is only applicable to top day trades and the transfer is within the same Member.
- For an alternative trades transfer method, please refer to *Section 9 File Upload Perspective*.

3.3 Multiple Trade Transfers

To Issue Multiple Trade Transfers

| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sel | Quantity | Price | Abbreviated Price | Currency | Under |
|---------|-----------------|-----------|---------------------|---------|----------|--------|-------------------|----------|-------|
| A3001 | A3001_CO_003201 | 003201 | PF1806 | Buy | 1 | 711.00 | USD | PO | |
| A3001 | A3001_CO_003201 | 003201 | PF1805 | Buy | 1 | 741.00 | | | |
| A3001 | A3001_CO_003201 | 003201 | PF1805 | Buy | 1 | 727.00 | | | |

- Under the *Matched Trades Tab*, select multiple *Trade Rows* and right-click on it. Select *Multiple Trade Transfer*.

Multiple Trade Transfer

| Destination | | | | | | |
|---------------|-------------------|---------------------|------------------|--------|----------|----------|
| Account | * A3001_CN_003107 | | | | | |
| Business Unit | 003107 | | | | | |
| Client ID | 003107 | | | | | |
| Trades | | | | | | |
| Clearer | Account ID | Tradable Instrument | Trade ID | Price | Quantity | Buy/Sell |
| A3001 | A3001_CO_003201 | PF1806 | 1151995805516501 | 711.00 | 1 | Buy |
| A3001 | A3001_CO_003201 | PF1805 | 1151995797040601 | 741.00 | 1 | Buy |
| A3001 | A3001_CO_003201 | PF1805 | 1151995797040101 | 727.00 | 1 | Buy |

Submit

- Select a receiving position account and check the details of all trades. If correct, click **Submit**.

| Clearer | Account ID | Client ID | Tradable Instrument | Buy/Sell | Quantity | Price |
|---------|-----------------|-----------|---------------------|----------|----------|--------|
| A3001 | A3001_CN_003107 | 003107 | PF1805 | Buy | 1 | 741.00 |
| A3001 | A3001_CN_003107 | 003107 | PF1805 | Buy | 1 | 727.00 |
| A3001 | A3001_CN_003107 | 003107 | PF1806 | Buy | 1 | 711.00 |

- Once submitted, all trades will be transferred to the new position account.

- Trade transfer is only applicable to top day trades and the transfer is within the same Member.
- Please note that multiple trade transfer must be from the same position account.
- For an alternative trade transfer method, please refer to [Section 9 File Upload Perspective](#).

3.4 Tradable Instruments

To View Market Prices for Specific Contracts

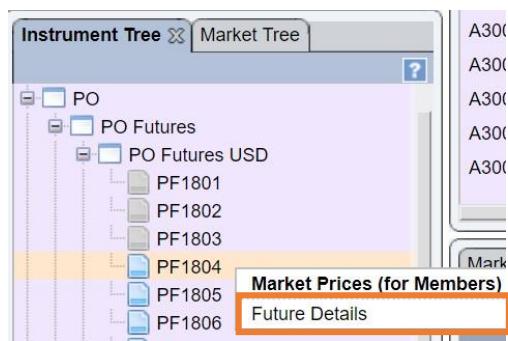
- Under the **Instrument Tree Tab**, expand the **Instrument Tree** and right-click a **Tradable Instrument**. Select **Market Prices (For Members)**.

| Market Prices (for Members) X | | | | | | | | | | |
|---|----------|------------|--------------|-------------|-------|---------|--------------------|-------------------|--------------|---------------------|
| (3) X Instrument = PF1804 | | | | | | | | | | |
| Underly | Instrume | Instrument | Settlement D | Expiry Date | Price | Currenc | Tag | Market Price Type | Business Dat | Time Of Event |
| PO | Future | PF1804 | 29/06/2018 | 13/04/2018 | 730 | USD | | CURRENT | 20/03/2018 | 20/03/2018 10:30:13 |
| PO | Future | PF1804 | 29/06/2018 | 13/04/2018 | 713.5 | USD | Closing_2018-03-19 | CLOSING | 19/03/2018 | 19/03/2018 18:15:15 |
| PO | Future | PF1804 | 29/06/2018 | 13/04/2018 | 700 | USD | TradedPrice | TRADED_PRICE | 20/03/2018 | 20/03/2018 10:33:34 |

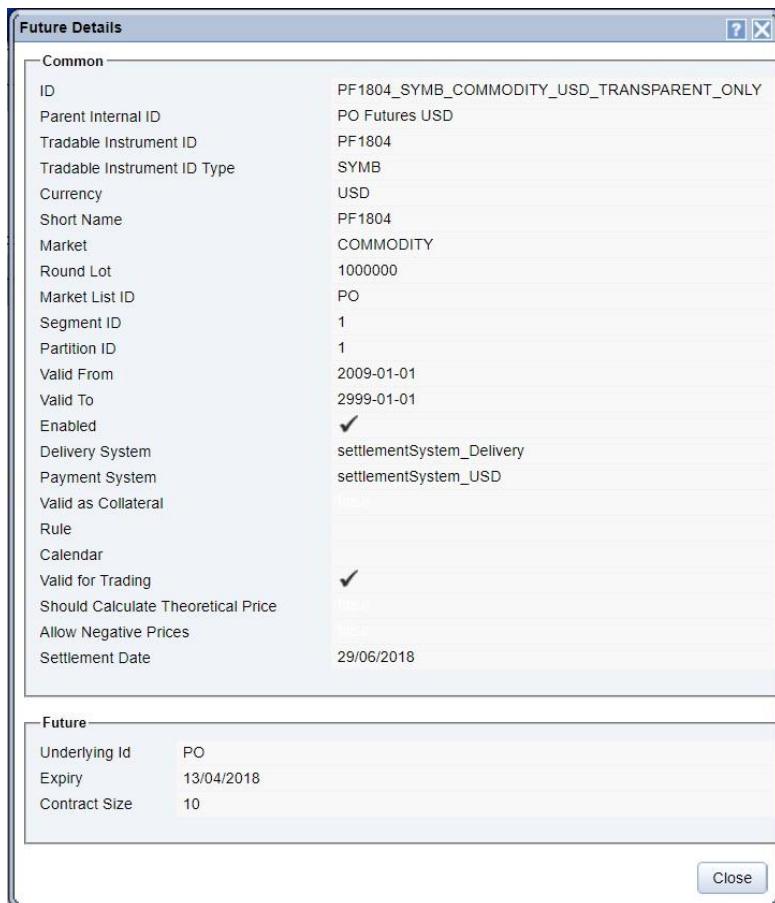
2. Information such as contract settlement date, expiration date and type of prices will be displayed in a separate view under the **Market Prices (For Members) Tab**.

- Members can view all types of market prices for a specific contract here:
 - **CURRENT:** The trade price calculated by APEX Clear System on an hourly basis for risk calculation.
 - **CLOSING:** The daily settlement price (DSP) as authorised by the Clearing House at End of Day on each business day. The corresponding business day of the DSP is displayed in the **Tag** column
 - **EOD_VM:** The closing price used by APEX Clear System for risk calculation. This price will be the same as CLOSING.
 - **SETTLEMENT:** The final settlement price (FSP) as authorised by the Clearing House at End of Day on the Last Trading Day of the contract.
 - **TRADED_PRICE:** The current matched trade price captured from APEX Trading Platform.

To View Future Details



1. Under the **Instrument Tree Tab**, expand the **Instrument Tree** and right-click a **Tradable Instrument**. Select **Future Details**.



2. All details on the specific contract will be shown in a separate dialog box. Important information such as settlement date, expiry date and contract size can be found here.

3.5 Exception Queue

To View Pending Trades under Exception Queue

The screenshot shows the 'Exception Queue' tab with two tables:

Top Table (Pending Trades):

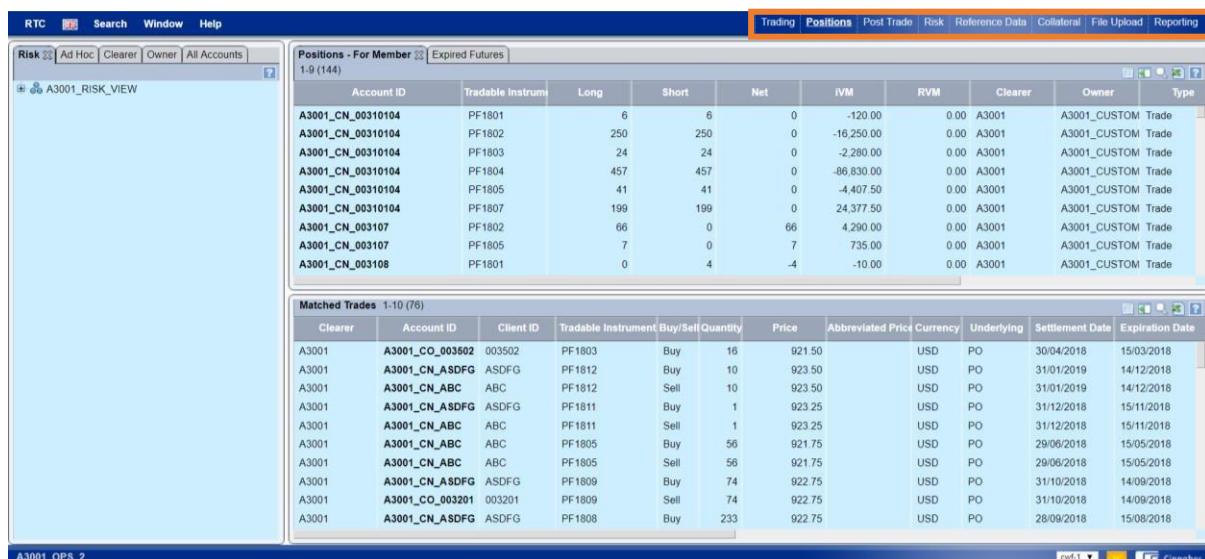
| Account ID | Client ID | Tradable | Buy/Sell | Quantity | Price | Abbrev | Curren | Underly | Prompt Date | Clearer | Clearing Status | Reason |
|--------------|-----------|----------|----------|----------|----------|--------|--------|---------|-------------|---------|-----------------|-----------------------|
| A3001_CI_ABC | ABC | PF1801 | Buy | 10 | 1,144.25 | USD | PO | | 15/12/2017 | A3001 | Accepted | Position Account Code |

Bottom Table (Queue Details):

| Reason Description | Queue | Trade Date | Trade Source | Matched Trade ID | Time |
|---|--------|------------|--------------|------------------|---------------------|
| Account is disabled. AccountId:A3001_CI_ABC | Static | 20/10/2017 | Exchange | 1150846650910303 | 20/10/2017 10:28:29 |

1. Trades that fall into the *Exception Queue Tab* are pending and will require further action from the Clearing House.
 - Please contact the Operations department for trades in the *Exception Queue Tab*.

4 POSITIONS PERSPECTIVE



The screenshot shows the APEX Positions Perspective interface. At the top, there is a navigation bar with links for RTC, Search, Window, Help, Trading, Positions, Post Trade, Risk, Reference Data, Collateral, File Upload, and Reporting. The 'Positions' link is highlighted with an orange border.

The main area contains two tables:

- Positions - For Member**: Shows 1-9 (144) entries. The columns include Account ID, Tradable Instrument, Long, Short, Net, IVM, RVFM, Clearer, Owner, and Type. Most entries have a Long value of 6 and a Short value of 250, with a Net value of 0.
- Matched Trades**: Shows 1-10 (76) entries. The columns include Clearer, Account ID, Client ID, Tradable Instrument, Buy/Sell, Quantity, Price, Abbreviated Price Currency, Underlying, Settlement Date, and Expiration Date. The data includes various trade details such as Buy or Sell, quantity, price in USD, and settlement dates ranging from 30/04/2018 to 28/09/2018.

The *Positions Perspective* displays position account details. Position close out for only omnibus accounts can be performed here.

4.1 Position Transfer

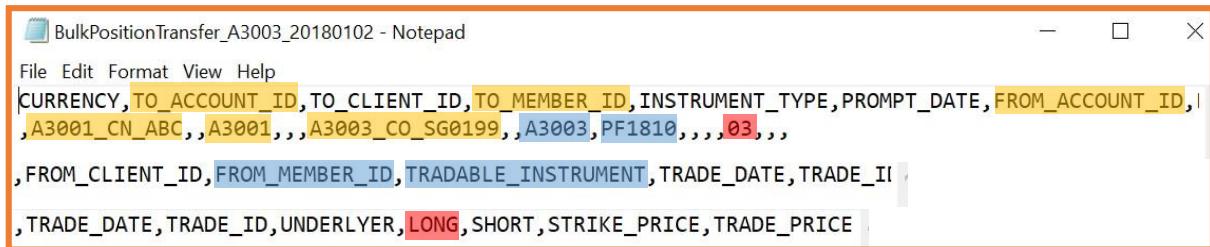
Position Transfer is only applicable for brought forward positions.

To submit a Position Transfer request

- For position and portfolio transfers, please submit an email request to operations@asiapacificex.com with a **completed Position Transfer Request Form**.
- The form is available for download at <https://www.asiapacificex.com/Clearing/Forms>.
- The form is only considered completed if there are signatures and account IDs from both transferor and transferee. In the event that the position transfer is within the same Member, the Clearing Member needs to sign off as both transferor and transferee.
- If there are multiple Open Positions to be transferred, Clearing Member may also submit the details of these position transfers in an Excel File, together with the completed Position Transfer Request Form.

To Create a Position Transfer File

 BulkPositionTransfer_A3003_20180102

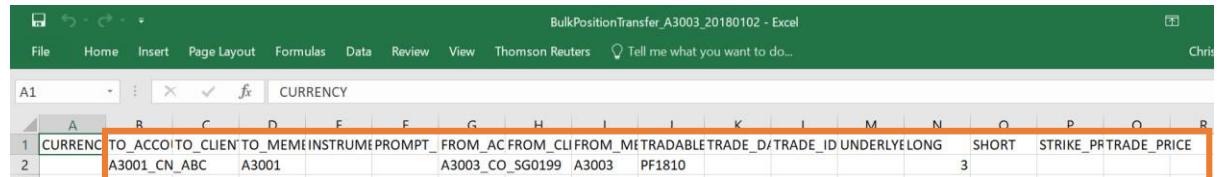


```

BulkPositionTransfer_A3003_20180102 - Notepad
File Edit Format View Help
CURRENCY,TO_ACCOUNT_ID,TO_CLIENT_ID,TO_MEMBER_ID,INSTRUMENT_TYPE,PROMPT_DATE,FROM_ACCOUNT_ID,,
,A3001_CN_ABC,,A3001,,,A3003_CO_SG0199,,A3003,PF1810,,,03,,,
,FROM_CLIENT_ID,FROM_MEMBER_ID,TRADABLE_INSTRUMENT,TRADE_DATE,TRADE_ID,,
,TRADE_DATE,TRADE_ID,UNDERLYER,LONG,SHORT,STRIKE_PRICE,TRADE_PRICE

```

1. Change the Excel file name to
< BulkPositionTransfer_Transferor Member ID_Transfer Date YYYYMMDD >
2. Open the Excel file in **Notepad Format** and edit the values where applicable.



| CURRENCY | TO_ACCOUNT_ID | TO_CLIENT_ID | TO_MEMBER_ID | INSTRUMENT_TYPE | PROMPT_DATE | FROM_ACCOUNT_ID | FROM_CLIENT_ID | FROM_MEMBER_ID | TRADABLE_INSTRUMENT | TRADE_DATE | TRADE_ID | UNDERLYER | LONG | SHORT | STRIKE_PRICE | TRADE_PRICE |
|----------|---------------|--------------|--------------|-----------------|-------------|-----------------|----------------|----------------|---------------------|------------|----------|-----------|------|-------|--------------|-------------|
| A1 | A3001_CN_ABC | A3001 | | A3003_CO_SG0199 | A3003 | PF1810 | | | | | | | | | | |
| | | | | | | | | | | | | | | | | 3 |

3. Re-check the details in **Excel Format**.
4. Submit the Excel file together with the completed Position Transfer Request Form to the Clearing House for approval.

4.2 Position Close Out

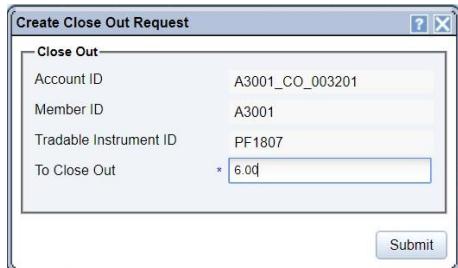
To Create a Position Close Out



| Positions - For Member Expired Futures | | | | | | |
|---|------------|------|-------|------|-----|-----|
| (1) | | | | | | |
| ☒ Tradable Instrument = PF1807 ☒ Account ID = A3001_CO_003201 | | | | | | |
| Account ID | Tradable I | Long | Short | Net | iVM | RVM |
| A3001_CO_003201 | PF1807 | 16 | 429 | -413 | | |

Position Details
[Market Prices \(for Members\)](#)
[Create Close Out Request](#)

1. Under the **Positions – For Members Tab**, right-click on the respective CO, PO or PD account. Select **Create Close Out Request**.



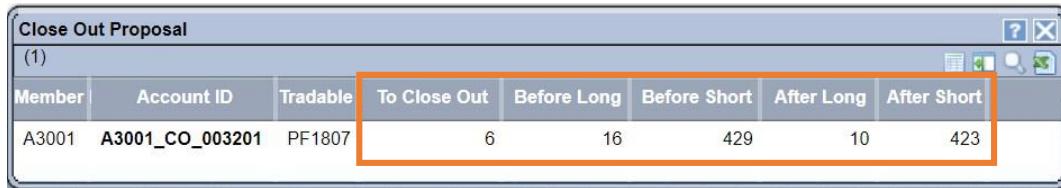
2. Enter a close out quantity and click **Submit** to confirm.



3. Go to the **File Upload Perspective**.

| Files (1) | | | | | | |
|-----------|------------------------------|-----------|---------------------------------|-------|------------|---------|
| Uploader | File ID | File Type | File Name | State | Validation | Created |
| A3001 | MANUAL-A3001-151503056797517 | Close Out | Closeout_A3001_20180104_GUI.csv | New | Correct | 0 |

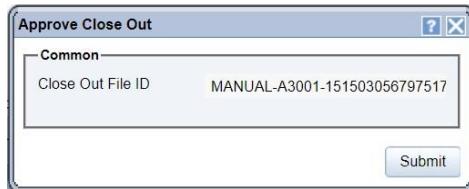
Close Out Details
Close Out Proposal
Approve Close Out
Cancel Close Out



4. Right-click on the **Close Out Request Row** and select **Close Out Proposal**. Check the details in the dialog box.

| Files (1) | | | | | | |
|-----------|------------------------------|-----------|---------------------------------|-------|------------|---------|
| Uploader | File ID | File Type | File Name | State | Validation | Created |
| A3001 | MANUAL-A3001-151503056797517 | Close Out | Closeout_A3001_20180104_GUI.csv | New | Correct | 0 |

Close Out Details
Close Out Proposal
Approve Close Out
Cancel Close Out



5. If the details are correct, right-click on the **Close Out Request Row** and select **Approve Close Out**. Click **Submit** to confirm.

| Uploader | File ID | File Type | File Name | State | Validation |
|----------|------------------------------|-----------|---------------------------------|-----------|------------|
| A3001 | MANUAL-A3001-151503056797517 | Close Out | Closeout_A3001_20180104_GUI.csv | Completed | Correct |

6. Once submitted, the state will change from *New* to *Completed*.

| Account ID | Tradable | Long | Short | Net | iVM | RVM | Clearer | Owner |
|-----------------|----------|------|-------|------|---------------|------|---------|----------------|
| A3001_CO_003201 | PF1807 | 10 | 423 | -413 | -1,250,357.50 | 0.00 | A3001 | A3001_CUSTOMER |

7. Likewise, in *Positions Perspective*, the position will be updated under the *Positions – For Members Tab*.

- For an alternative position close out method, please refer to *Section 9 File Upload Perspective*.
- Please note that position close out is only available from 19:15 to 19:59 after trade aggregation.

To View Top Day Trades

| Account ID | Tradable | Long | Short | Net | iVM | RVM | Clearer |
|-----------------|----------|------|-------|-----|-----|-----|---------|
| A3001_CO_003201 | PF1802 | 250 | 19 | 231 | | | |

Position Details
 Market Prices (for Members)
Position Trades
 Create Close Out Request

1. Under the *Positions – For Members Tab*, right-click on the respective CO, PO, or PD account. Select *Position Trades*.

| Clearer | Account ID | Trade ID | Client ID | Tradable | Buy/Sell | Quantity | Price | Abbrevi | Currenc | Underly | Trade Date | Trade S | State | Multileg |
|---------|-----------------|------------------|-----------|----------|----------|----------|--------|---------|---------|---------|------------|---------|----------|----------|
| A3001 | A3001_CO_003201 | 1151498973896301 | 003201 | PF1802 | Buy | 250 | 915.00 | | USD | PO | 04/01/2018 | 0 | Accepted | |

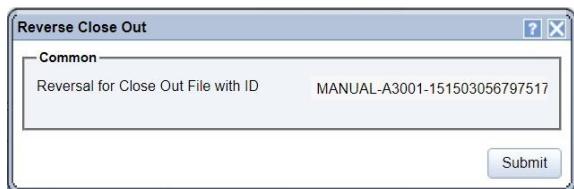
2. The top day trades will be displayed in a dialog box.

To Reverse an Approved Position Close Out

| Uploader | File ID | File Type | File Name | State | Validation | Created |
|----------|------------------------------|-----------|---------------------------------|-----------|------------|---------|
| A3001 | MANUAL-A3001-151503056797517 | Close Out | Closeout_A3001_20180104_GUI.csv | Completed | Correct | |

Close Out Details
Reverse Close Out
 Filter by Value

- Under the *File Upload Perspective*, right-click a *Position Close Out Row*. Select *Reverse Close Out*.

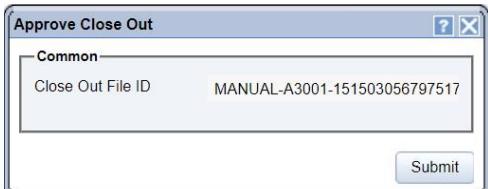


- Click *Submit* to confirm.

| Files (1) | | | | | | |
|-----------|---------------------------------|---------------------|--|-------|------------|---------------------------|
| Uploader | File ID | File Type | File Name | State | Validation | Created |
| A3001 | MANUAL-A3001-151503056797517_R1 | Close Out: Reversed | Reversal_Closeout_A3001_20180104_GUI.csv | New | Correct | 04/04/2018 10:44:24 -0400 |

A context menu is open over the row, showing options: Close Out Details, Close Out Proposal, Approve Close Out (highlighted with a red box), and Cancel Close Out.

- Right-click on the corresponding *Reversal Close Out Row* and select *Approve Close Out*.

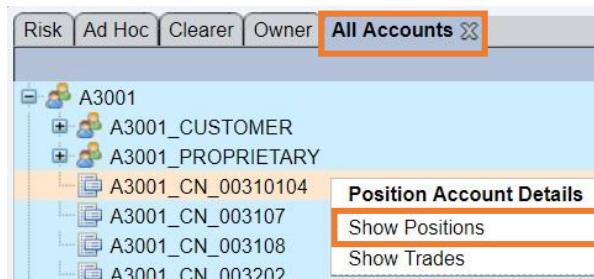


- Click *Submit* to confirm.

- Please note the difference in file type; *Close Out* and *Close Out Reversal*.
- Select *Cancel Close Out* to reject the close out reversal.
- This function is only applicable to **today's position close out** during the stipulated close out period between 19:15 and 19:59.
- For any close out reversal outside of the stipulated close out period, please submit an email request to **operations@asiapacificex.com** with a completed Position Reinstatement Request Form. The form is available for download at <https://www.asiapacificex.com/Clearing/Forms/>
- Please note that for any position re-opening request, it must be submitted to the Clearing House no later than **two business days** after the position close out has been performed.

4.3 Position Accounts

To View All Positions of a Positions Account



- Under the **All Accounts Tab**, expand the **Member Tree** and right-click on the **Position Account Icon**. Select **Show Positions**.

| Account ID | Tradable | Long | Short | Net | iVM | RVM | Clearer | Owner | Type | Currency | Underly | Settlement D | Expiration D |
|-------------------|----------|------|-------|------|-------------|------|---------|----------------|-------|----------|---------|--------------|--------------|
| A3001_CN_00310104 | PF1801 | 5 | 10 | -5 | -31,037.50 | 0.00 | A3001 | A3001_CUSTOMER | Trade | USD | PO | 28/02/2018 | 15/01/2018 |
| A3001_CN_00310104 | PF1802 | 0 | 250 | -250 | 16,250.00 | 0.00 | A3001 | A3001_CUSTOMER | Trade | USD | PO | 29/03/2018 | 15/02/2018 |
| A3001_CN_00310104 | PF1803 | 0 | 24 | -24 | -68,820.00 | 0.00 | A3001 | A3001_CUSTOMER | Trade | USD | PO | 30/04/2018 | 15/03/2018 |
| A3001_CN_00310104 | PF1804 | 0 | 457 | -457 | 60,572.50 | 0.00 | A3001 | A3001_CUSTOMER | Trade | USD | PO | 31/05/2018 | 13/04/2018 |
| A3001_CN_00310104 | PF1805 | 0 | 41 | -41 | -120,437.50 | 0.00 | A3001 | A3001_CUSTOMER | Trade | USD | PO | 29/06/2018 | 15/05/2018 |
| A3001_CN_00310104 | PF1807 | 199 | 0 | 199 | 600,482.50 | 0.00 | A3001 | A3001_CUSTOMER | Trade | USD | PO | 31/08/2018 | 13/07/2018 |

- All contract positions belonging to that position account will be shown in a separate **Positions – For Member Tab**.

To View All Matched Trades for a Position Account



- Under the **All Accounts Tab**, expand the **Member Tree** and right-click on the **Position Account Icon**. Select **View Trades**.

| Matched Trades (10) | | | | | | | | | | | | | | | |
|----------------------------------|-------------------|-----------|----------|----------|----------|--------|--------|--------|---------|---------------|---------------|------------|-------------|----------|------------------|
| ⌘ Account ID = A3001_CN_00310104 | | | | | | | | | | | | | | | |
| Clearer | Account ID | Client ID | Tradable | Buy/Sell | Quantity | Price | Abbrev | Curren | Underly | Settlement Da | Expiration Da | Trade Date | Trade Sourc | State | Trade ID |
| A3001 | A3001_CN_00310104 | 00310104 | PF1801 | Buy | 1 | 960.00 | | USD | PO | 28/02/2018 | 15/01/2018 | 04/01/2018 | Exchange | Accepted | 1151503441804601 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1801 | Buy | 1 | 960.00 | | USD | PO | 28/02/2018 | 15/01/2018 | 04/01/2018 | Exchange | Accepted | 1151503439763401 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1801 | Buy | 1 | 960.00 | | USD | PO | 28/02/2018 | 15/01/2018 | 04/01/2018 | Exchange | Accepted | 1151503433476101 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1801 | Buy | 1 | 960.00 | | USD | PO | 28/02/2018 | 15/01/2018 | 04/01/2018 | Exchange | Accepted | 1151503432681401 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1801 | Buy | 1 | 960.00 | | USD | PO | 28/02/2018 | 15/01/2018 | 04/01/2018 | Exchange | Accepted | 1151503427675501 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1804 | Sell | 1 | 916.00 | | USD | PO | 31/05/2018 | 13/04/2018 | 04/01/2018 | Exchange | Accepted | 1151502843540302 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1804 | Sell | 24 | 914.00 | | USD | PO | 31/05/2018 | 13/04/2018 | 04/01/2018 | Exchange | Accepted | 1151499179470702 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1804 | Sell | 1 | 914.00 | | USD | PO | 31/05/2018 | 13/04/2018 | 04/01/2018 | Exchange | Accepted | 1151499114000802 |
| A3001 | A3001_CN_00310104 | 00310104 | PF1804 | Sell | 431 | 914.00 | | USD | PO | 31/05/2018 | 13/04/2018 | 04/01/2018 | Exchange | Accepted | 1151499073634802 |

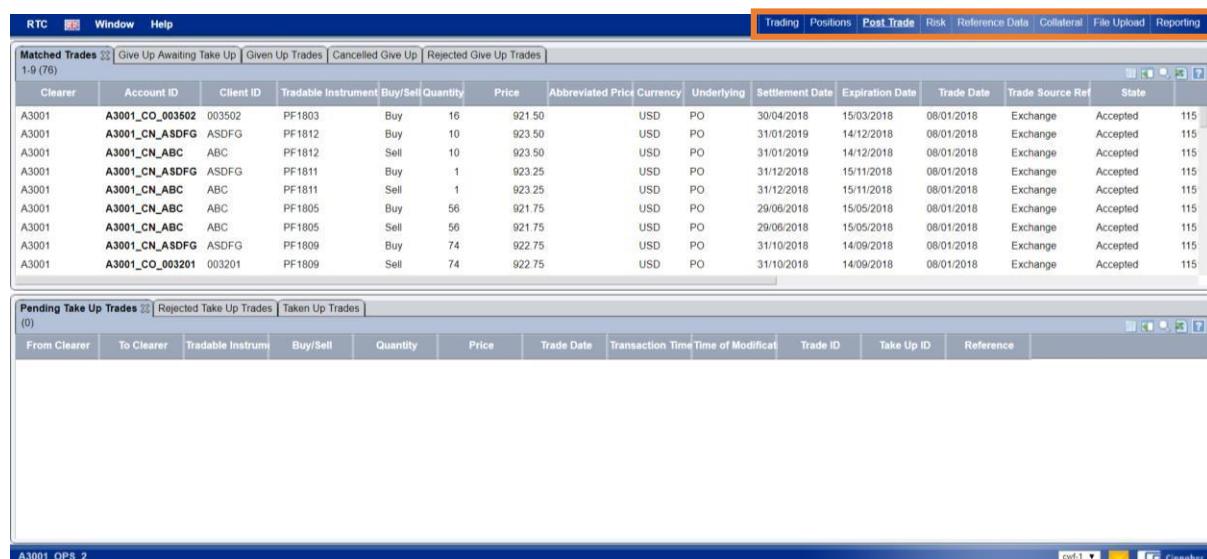
2. All trades belonging to that position account will be shown in the *Matched Trades View*.

4.4 Expired Futures

| Positions - For Member | | Expired Futures ⌂ | | | | | | | | | | | | | | | |
|------------------------|------------------|-------------------|-------------------|---------|------------|------------|---------------|---------------|------|---------|-----|------|---------|--------|---------|---------|----------|
| (14) | | Account ID | Account Name | Clearer | Owner | Tradable | Expiration Da | Settlement Da | Long | Short | Net | Type | Underly | Curren | Settled | Settled | Delivery |
| A3001_CN_003108 | A3001_CN_003108 | A3001 | A3001_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 0 | 4 | -4 | Expired | PO | USD | 0 | 0 | | | |
| A3001_CN_ABC | A3001_CN_ABC | A3001 | A3001_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 9 | 0 | 9 | Expired | PO | USD | 0 | 0 | | | |
| A3001_CO_ASH | A3001_CO_ASH | A3001 | A3001_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 46 | 7 | 39 | Expired | PO | USD | 0 | 0 | | | |
| A3001_PN_QWERT | A3001_PN_QWERT | A3001 | A3001_PROPRIETARY | PF1801 | 15/01/2018 | 28/02/2018 | 0 | 5 | -5 | Expired | PO | USD | 0 | 0 | | | |
| A3002_CN_QAZ | A3002_CN_QAZ | A3002 | A3002_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 1 | 0 | 1 | Expired | PO | USD | 0 | 0 | | | |
| A3003_CO_SG0199 | A3003_CO_SG0199 | A3003 | A3003_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 15 | 0 | 15 | Expired | PO | USD | 0 | 0 | | | |
| A3007_CO_A3007B | A3007_CO_A3007B | A3007 | A3007_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 3 | 3 | 0 | Expired | PO | USD | 0 | 0 | | | |
| A3008_CO_A3008A | A3008_CO_A3008A | A3008 | A3008_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 0 | 2 | -2 | Expired | PO | USD | 0 | 0 | | | |
| A3009_CN_HAHABA | A3009_CN_HAHABA | A3009 | A3009_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 4 | 0 | 4 | Expired | PO | USD | 0 | 0 | | | |
| A3009_PN_HEHEHE | A3009_PN_HEHEHE | A3009 | A3009_PROPRIETARY | PF1801 | 15/01/2018 | 28/02/2018 | 0 | 1 | -1 | Expired | PO | USD | 0 | 0 | | | |
| A3111_PN_A3111B | A3111_PN_A3111B | A3111 | A3111_PROPRIETARY | PF1801 | 15/01/2018 | 28/02/2018 | 0 | 2 | -2 | Expired | PO | USD | 0 | 0 | | | |
| A5009_CO_005901 | A5009_CO_005901 | A5009 | A5009_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 0 | 52 | -52 | Expired | PO | USD | 0 | 0 | | | |
| A5010_CN_PHL8007 | A5010_CN_PHL8007 | A5010 | A5010_CUSTOMER | PF1801 | 15/01/2018 | 28/02/2018 | 0 | 4 | -4 | Expired | PO | USD | 0 | 0 | | | |
| A5011_PN_051101 | A5011_PN_051101 | A5011 | A5011_PROPRIETARY | PF1801 | 15/01/2018 | 28/02/2018 | 2 | 0 | 2 | Expired | PO | USD | 0 | 0 | | | |

- During the next trading day, after the Last Trading Day (LTD), all positions of an expired contract will be imported to the *Expired Futures Tab*. Likewise, the status will show *Expired* under *Type*.
- In the subsequent trading day (LTD + 2 trading days), the status will change from *Expired* to *Delivery*.
- Members can perform post-trade functions on these positions up till and including **LTD + 1 trading day**.
- For more details on physical delivery, please refer to APEX Clear Delivery System User Guide (For Members).

5 POST TRADE PERSPECTIVE



The screenshot shows the APEX Post Trade Perspective interface. At the top, there is a navigation bar with tabs: Trading, Positions, Post Trade (which is highlighted in orange), Risk, Reference Data, Collateral, File Upload, and Reporting. Below the navigation bar are two main sections: "Matched Trades" and "Pending Take Up Trades". The "Matched Trades" section displays a table of trade details, including Clearer, Account ID, Client ID, Tradable Instrument, Buy/Sell, Quantity, Price, Abbreviated Price, Currency, Underlying, Settlement Date, Expiration Date, Trade Date, Trade Source Ref, and State. The "Pending Take Up Trades" section displays a table with columns: From Clearer, To Clearer, Tradable Instrum, Buy/Sell, Quantity, Price, Trade Date, Transaction Time, Time of Modificat, Trade ID, Take Up ID, and Reference. At the bottom of the interface, there is a footer with the text "A3001_OPS_2" and some system icons.

The **Post Trade Perspective** is used for the facilitation of give-up trades. When a trade give-up is initiated, the trade will be filtered into the respective tabs according to its status update.

5.1 Give Up

5.1.1 Issuer's Perspective

To Issue a Give Up



The screenshot shows the APEX Post Trade Perspective interface with the "Matched Trades" tab selected. The table displays trade details for three entries. The third entry, which has a "Buy" quantity, is highlighted with an orange border. A right-click context menu is open over this row, with the option "Give Up Trade" highlighted in orange. Other menu items include "Trade Details" and "Trade Transfer". Above the table, there is a toolbar with buttons for "Matched Trades", "Give Up Awaiting Take Up", "Given Up Trades", "Cancelled Give Up", "Rejected Give Up Trades", and other filtering options.

- Under the **Matched Trades Tab**, right-click on the corresponding **Trade Row** and select **Give Up Trade**.

| | | | |
|---------------------|--------------|------------------|---------|
| From Clearer | A3001 | Quantity | 10 |
| Account ID | A3001_CO_ASH | Buy/Sell | Buy |
| Business Unit | | Recipient | |
| Tradable Instrument | PF1801 | To Clearer | * A3003 |
| Trade ID | | Give Up Quantity | * 10 |
| Trade Date | 02/01/2018 | Reference | Give Up |
| Price | 558.75 | Submit | |

- Select a Member ID to give up to and fill in the quantity. Click **Submit** to confirm.

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected | |
|----------------|-----------|--------------------------|------------|-----------------|---------|-------------------|--------|------------|--|
| From Cle | To Cleare | Account ID | Tradable I | Business | Buy/Sel | Quantity | Price | Trade Date | |
| A3001 | A3003 | A3001_CO_ASH | PF1801 | | Buy | 10 | 558.75 | 02/01/2018 | |

- The request will then be displayed under the **Give Up Awaiting Take Up Tab** until it has been taken up.

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected | |
|----------------|-----------|--------------------------|------------|-----------------|---------|-------------------|--------|------------|--|
| From Cle | To Cleare | Account ID | Tradable I | Business | Buy/Sel | Quantity | Price | Trade Date | |
| A3001 | A3003 | A3001_CO_ASH | PF1801 | | Buy | 10 | 558.75 | 02/01/2018 | |

- Once the trade has been taken up, the position will be reflected under the **Given Up Trades Tab**.

- For details on take up, please refer to [5.1.2 Receiver's Perspective](#).
- Give Up is only applicable for top day trades and it must be a transfer across Members.
- If there is no take up by the end of day cycle, the pending trade will return to its original position account.

To Cancel a Give Up

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected | |
|----------------|-----------|--------------------------|------------|-----------------|---------|-------------------|-------|------------|-----------------------|
| From Cle | To Cleare | Account ID | Tradable I | Business | Buy/Sel | Quantity | Price | Trade Date | |
| A3001 | A3003 | A3001_CO_ASH | PF1801 | | Buy | 10 | | | |
| A3001 | A3007 | A3001_CO_ASH | PF1801 | | Buy | 10 | | | Cancel Give Up |

- Under the **Give Up Awaiting Take Up Tab**, right-click on the corresponding **Give Up Trade Row** and select **Cancel Give Up**.

| Cancel Give Up | |
|---------------------|------------------|
| Trade | |
| From Clearer | A3001 |
| Account ID | A3001_CO_ASH |
| Business Unit | |
| Tradable Instrument | PF1801 |
| Trade ID | 1151488584887601 |
| Trade Date | 02/01/2018 |
| Price | 558.75 |
| Quantity | 10 |
| Buy/Sell | Buy |
| To Clearer | A3003 |
| Reference | Give Up |
| Submit | |

- Click **Submit** to confirm.

| Matched Trades | Give Up Awaiting Take Up | Given Up Trades | Cancelled Give Up | Rejected Give Up Trades |
|----------------|--------------------------|---------------------|--------------------------|-------------------------|
| (6) | | | | |
| From Cle | To Clearer | Account ID | Tradable | Business |
| A3001 | A3003 | A3001_CO_ASH | PF1801 | Buy |
| | | | | Quantity |
| | | | | 10 |
| | | | | Price |
| | | | | 558.75 |
| | | | | Trade Date |
| | | | | 02/01/2018 |
| | | | | Transaction Time |
| | | | | 02/01/2018 13:54:59 |

- The cancelled Give Up will be reflected under the **Cancelled Give Up Tab**.

To Check for Rejected Give Ups

| Matched Trades | Give Up Awaiting Take Up | Given Up Trades | Cancelled Give Up | Rejected Give Up Trades |
|----------------|--------------------------|---------------------|-------------------|--------------------------------|
| (2) | | | | |
| From Cle | To Clearer | Account ID | Tradable | Business |
| A3001 | A3003 | A3001_CO_ASH | PF1801 | Buy |
| | | | | Quantity |
| | | | | 10 |
| | | | | Price |
| | | | | 558.75 |
| | | | | Trade Date |
| | | | | 02/01/2018 |
| | | | | Transaction Time |
| | | | | 02/01/2018 09:54:32 |
| | | | | Time of Modification |
| | | | | 1151917749469301 |
| | | | | Trade ID |
| | | | | 1151917754067801 |
| | | | | Give Up ID |
| | | | | Reject Reason |
| | | | | Reject Take Up test |

- Any Give Up that is rejected will be reflected under the **Rejected Give Up Trades Tab**.

- For details on rejecting a give up trade, please refer to **5.1.2 Receiver's Perspective**.

5.1.2 Receiver's Perspective

To Accept a Take Up

| Pending Take Up Trades | Rejected Take Up Trades | Taken Up Trades |
|------------------------|-------------------------|---------------------|
| (1) | | |
| From Cle | To Clearer | Tradable |
| A3001 | A3003 | PF1801 |
| | | Buy |
| | | Quantity |
| | | 10 |
| | | Price |
| | | 558.75 |
| | | Trade Date |
| | | 02/01/2018 |
| | | Transaction Time |
| | | 02/01/2018 09:54:54 |
| | | Take Up Trade |
| | | Reject Take Up |

- Under the **Pending Take Up Trades Tab**, right-click on the corresponding **Take Up Trade Row** and select **Take Up Trade**.

| | |
|---------------|-------------------|
| From Clearer | A3001 |
| Reference | Give Up |
| Account ID | * A3003_CN_XMAS12 |
| Business Unit | XMAS12 |
| Trading User | trader123 |

- Select the position account that will be taking up the trade and click **Submit** to confirm.

| To Clearer | Account ID | Tradable Instrument | Business Unit | Buy/Sell | Quantity | Price | Trade Date |
|------------|-----------------|---------------------|---------------|----------|----------|--------|------------|
| A3003 | A3003_CN_XMAS12 | PF1801 | | Buy | 10 | 558.75 | 02/01/2018 |

- The taken up trade will then be reflected under **Taken Up Trades Tab**.

To Reject a Take Up

| From Cle | To Clearer | Tradable Instrument | Business Unit | Buy/Sell | Quantity | Price | Trade Date | Transaction Time |
|----------|------------|---------------------|---------------|----------|----------|--------|------------|------------------|
| A3001 | A3003 | PF1801 | | Buy | 10 | 558.75 | 02/01/2018 | Take Up Trade |

Reject Take Up

- Under the **Pending Take Up Trades Tab**, right-click on the corresponding **Take Up Trade Row** and select **Reject Take Up**.

| | |
|---------|--|
| Trade | Tradable Instrument: PF1801 Trade ID: 1151917749469301 Trade Date: 02/01/2018 Price: 558.75 Quantity: 10 Buy/Sell: Buy From Clearer: A3001 Reference: Test reject Take Up |
| Message | Reject Reason: Reject Take Up test |

Reject Take Up

- Key in a reason for rejecting the trade and click **Reject Take Up** to confirm.

| Pending Take Up Trades | | Rejected Take Up Trades | | Taken Up Trades | | | | | | | | |
|------------------------|----------|-------------------------|----------|-----------------|----------|--------|------------|---------------------|----------------------|------------------|------------------|---------------------|
| From Cle | To Clear | Clearable | Business | Buy/Sell | Quantity | Price | Trade Date | Transaction Time | Time of Modification | Trade ID | Take Up ID | Reject Reason |
| A3001 | A3003 | PF1801 | Buy | | 10 | 558.75 | 02/01/2018 | 02/01/2018 09:44:54 | 02/01/2018 09:54:32 | 1151917749469301 | 1151917754067802 | Reject Take Up test |

3. The rejected take up trade will then be reflected under *Rejected Take Up Trades Tab*.

5.2 Partial Give Up

To Issue a Partial Give Up

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected | |
|----------------|--------------|--------------------------|----------|-----------------|----------|-------------------|---------|----------|-------|
| From Cle | To Clear | Clearable | Business | Buy/Sell | Quantity | Price | Abbrevi | Curren | Under |
| A3001 | A3001_CO_ASH | ASH | PF1812 | Sell | 100 | 912.00 | USD | PO | |
| A3001 | A3001_CO_ASH | ASH | PF1812 | Sell | 200 | 912.00 | | | |
| A3001 | A3001_CO_ASH | ASH | PF1812 | Buy | 500 | 915.00 | | | |

Trade Details

Give Up Trade

Trade Transfer

1. Under the *Matched Trades Tab*, right-click on the corresponding *Trade Row* and select *Give Up Trade*.

| | |
|--|--|
| <p>Give Up Trade</p> <p>Trade</p> <p>From Clearer: A3001</p> <p>Account ID: A3001_CO_ASH</p> <p>Business Unit</p> <p>Tradable Instrument: PF1812</p> <p>Trade ID</p> <p>Trade Date: 04/01/2018</p> <p>Price: 912.00</p> <p>Quantity: 100</p> | <p>Quantity: 100</p> <p>Buy/Sell: Sell</p> <p>Recipient</p> <p>To Clearer: * A3003</p> <p>Give Up Quantity: * 50</p> <p>Reference: Partial Give Up</p> <p style="text-align: right;">Submit</p> |
|--|--|

2. Select a Member ID to give up to and fill in the desired quantity. Click *Submit* to confirm.

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected | |
|----------------|----------|--------------------------|----------|-----------------|---------|-------------------|--------|------------|--|
| From Cle | To Clear | Account ID | Tradable | Business | Buy/Sel | Quantity | Price | Trade Date | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | | Sell | 50 | 912.00 | 04/01/2018 | |

3. The request will be displayed under the *Give Up Awaiting Take Up Tab*.

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected | |
|----------------|----------|--------------------------|----------|-----------------|---------|-------------------|--------|------------|--|
| From Cle | To Clear | Account ID | Tradable | Business | Buy/Sel | Quantity | Price | Trade Date | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | | Sell | 50 | 912.00 | 04/01/2018 | |

4. Once the trade has been taken up, the position will be reflected under the *Given Up Trades Tab*.

- For details on take up, please refer to [5.1.2 Receiver's Perspective](#).
- For details on cancel give up, please refer to [5.1.1 Issuer's Perspective](#).
- Give Up is only applicable for top day trades and it must be a transfer across Members.

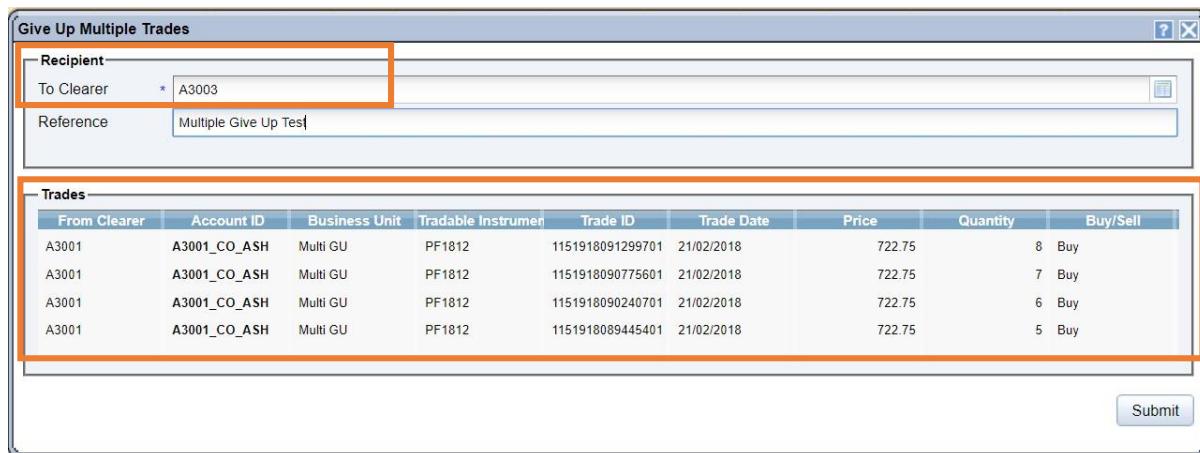
5.3 Multiple Give Ups

5.3.1 Issuer's Perspective

To Issue Multiple Give Ups

| Matched Trades  | | | | | | | | | | Give Up Awaiting Take Up | Given Up Trades | Cancelled Give Up | Rejected Give Up Trades | |
|--|--------------|-----------|----------|----------|----------|--------|---------|--------|---------|--------------------------|-------------------------|-------------------|-------------------------|--|
| 1-9 (54) | | | | | | | | | | | | | | |
| Clearer | Account ID | Client ID | Tradable | Buy/Sell | Quantity | Price | Abbrevi | Curren | Underly | Settlement | | | | |
| A3001 | A3001_CO_ASH | ASH | PF1812 | Buy | 8 | 722.75 | | USD | PO | 31/01/2019 | | | | |
| A3001 | A3001_CO_ASH | ASH | PF1812 | Buy | 7 | 722.75 | | USD | PO | 31/01/2019 | | | | |
| A3001 | A3001_CO_ASH | ASH | PF1812 | Buy | 6 | 722.75 | | USD | PO | 31/01/2019 | | | | |
| A3001 | A3001_CO_ASH | ASH | PF1812 | Buy | 5 | 722.75 | | USD | PO | 31/01/2019 | | | | |
| A3001 | A3001_CO_123 | 123 | PF1901 | Buy | 30 | 715.00 | | | | | Give Up Multiple Trades | | | |
| A3001 | A3001_CO_123 | 123 | PF1901 | Buy | 30 | 720.00 | | | | | Multiple Trade Transfer | | | |

1. Under the *Matched Trades Tab*, select multiple *Trade Rows* and right-click on it. Select *Give Up Multiple Trades*.



| From Clearer | Account ID | Business Unit | Tradable Instrument | Trade ID | Trade Date | Price | Quantity | Buy/Sell |
|--------------|--------------|---------------|---------------------|------------------|------------|--------|----------|----------|
| A3001 | A3001_CO_ASH | Multi GU | PF1812 | 1151918091299701 | 21/02/2018 | 722.75 | 8 | Buy |
| A3001 | A3001_CO_ASH | Multi GU | PF1812 | 1151918090775601 | 21/02/2018 | 722.75 | 7 | Buy |
| A3001 | A3001_CO_ASH | Multi GU | PF1812 | 1151918090240701 | 21/02/2018 | 722.75 | 6 | Buy |
| A3001 | A3001_CO_ASH | Multi GU | PF1812 | 115191809445401 | 21/02/2018 | 722.75 | 5 | Buy |

2. Select a receiving position account and check the details of all trades. If correct, click *Submit*.

| Matched Trades | | | | | | | | | | Give Up Awaiting Take Up  | Given Up Trades | Cancelled Give Up | Rejected G | |
|----------------|-----------|--------------|----------|----------|---------|----------|--------|------------|--|--|-----------------|-------------------|------------|--|
| (4) | | | | | | | | | | | | | | |
| From Cle | To Cleare | Account ID | Tradable | Business | Buy/Sel | Quantity | Price | Trade Date | | | | | | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 8 | 722.75 | 21/02/2018 | | | | | | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 7 | 722.75 | 21/02/2018 | | | | | | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 6 | 722.75 | 21/02/2018 | | | | | | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 5 | 722.75 | 21/02/2018 | | | | | | |

3. The request will be displayed under the *Give Up Awaiting Take Up Tab*.

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected Give Up | |
|----------------|-----------|--------------------------|----------|------------------------|---------|-------------------|--------|------------------|--|
| (4) | | | | | | | | | |
| From Cle | To Cleare | Account ID | Tradable | Business | Buy/Sel | Quantity | Price | Trade Date | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 5 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 6 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 7 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 8 | 722.75 | 21/02/2018 | |

4. Once the trades have been taken up, the positions will be reflected under the **Given Up Trades Tab**.

- For details on multiple take ups, please refer to [5.3.2 Receiver's Perspective](#).
- Give Up is only applicable for top day trades and it must be a transfer across Members.
- If there is no take up by the end of day cycle, the pending trade will return to its original position account.

To Cancel Multiple Give Ups

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected Give Up | |
|----------------|-----------|--------------------------|----------|------------------------|---------|-------------------|--------|------------------|--|
| (4) | | | | | | | | | |
| From Cle | To Cleare | Account ID | Tradable | Business | Buy/Sel | Quantity | Price | Trade Date | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 8 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 7 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 6 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 5 | 722.75 | 21/02/2018 | |

Cancel Multiple Give Up

1. Under the **Give Up Awaiting Take Up Tab**, select multiple **Trade Rows** and right-click on it. Select **Cancel Multiple Give Up**.

Cancel Multiple Give Up

| Trades | | | | | | | | | | | | |
|--------------|--------------|---------------|---------------------|------------------|------------|--------|----------|----------|------------|-----------------------|--|--|
| From Clearer | Account ID | Business Unit | Tradable Instrument | Trade ID | Trade Date | Price | Quantity | Buy/Sell | To Clearer | Reference | | |
| A3001 | A3001_CO_ASH | Multi GU | PF1812 | 1151918091299701 | 21/02/2018 | 722.75 | 8 | Buy | A3003 | Multiple Give Up Test | | |
| A3001 | A3001_CO_ASH | Multi GU | PF1812 | 1151918090775601 | 21/02/2018 | 722.75 | 7 | Buy | A3003 | Multiple Give Up Test | | |
| A3001 | A3001_CO_ASH | Multi GU | PF1812 | 1151918090240701 | 21/02/2018 | 722.75 | 6 | Buy | A3003 | Multiple Give Up Test | | |
| A3001 | A3001_CO_ASH | Multi GU | PF1812 | 1151918089445401 | 21/02/2018 | 722.75 | 5 | Buy | A3003 | Multiple Give Up Test | | |

Submit

2. Check the details of all trades and click **Submit** to confirm.

| Matched Trades | | Give Up Awaiting Take Up | | Given Up Trades | | Cancelled Give Up | | Rejected Give Up | |
|----------------|-----------|--------------------------|----------|------------------------|---------|--------------------------|--------|------------------|--|
| (4) | | | | | | | | | |
| From Cle | To Cleare | Account ID | Tradable | Business | Buy/Sel | Quantity | Price | Trade Date | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 8 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 7 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 6 | 722.75 | 21/02/2018 | |
| A3001 | A3003 | A3001_CO_ASH | PF1812 | Multi GU | Buy | 5 | 722.75 | 21/02/2018 | |

3. The cancelled Give Ups will be reflected under the *Cancelled Give Up Tab*.

To Check for Rejected Give Ups

| Matched Trades | Give Up Awaiting Take Up | Given Up Trades | Cancelled Give Up | Rejected Give Up Trades | | | | | | | | | |
|----------------|--------------------------|-----------------|-------------------|-------------------------|----------|----------|--------|------------|---------------------|----------------------|------------------|------------------|---------------------|
| (2) | | | | | | | | | | | | | |
| From Cle | To Clear | Account ID | Tradable | Business Unit | Buy/Sell | Quantity | Price | Trade Date | Transaction Time | Time of Modification | Trade ID | Give Up ID | Reject Reason |
| A3001 | A3003 | A3001_CO_ASH | PF1801 | | Buy | 10 | 558.75 | 02/01/2018 | 02/01/2018 09:44:54 | 02/01/2018 09:54:32 | 1151917749469301 | 1151917754067801 | Reject Take Up test |

2. Any Give Up that is rejected will be reflected under the *Rejected Give Up Trades Tab*.

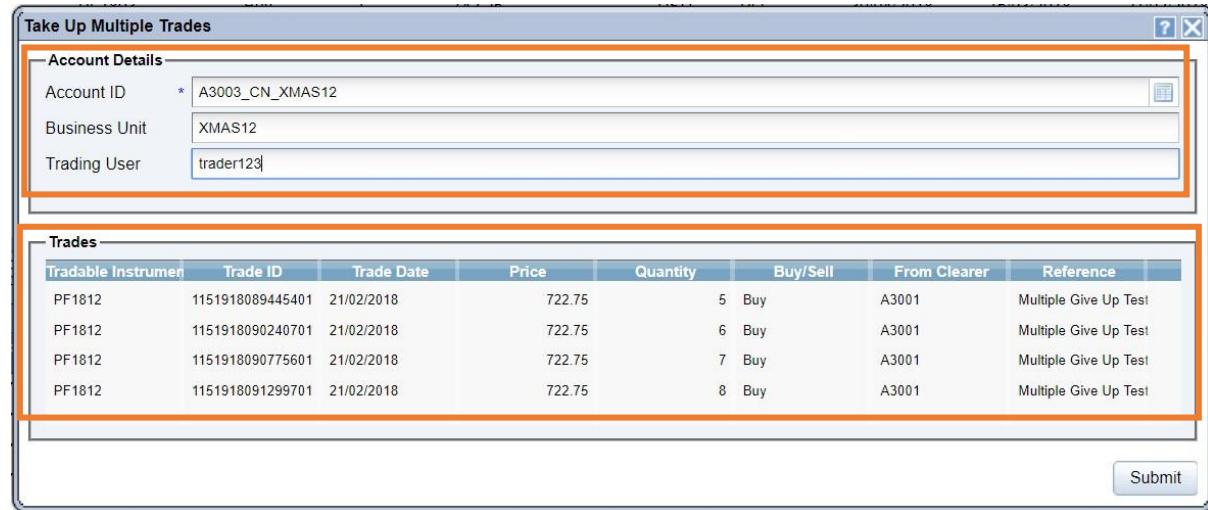
- For details on rejecting multiple give up trades, please refer to *5.3.2 Receiver's Perspective*.

5.3.2 Receiver's Perspective

To Accept Multiple Take Ups

| Pending Take Up Trades | Rejected Take Up Trades | Taken Up Trades | | | | | |
|-------------------------|-------------------------|-----------------|----------|----------|--------|------------|----------|
| (4) | | | | | | | |
| From Cle | To Clear | Tradable | Buy/Sell | Quantity | Price | Trade Date | Transa |
| A3001 | A3003 | PF1812 | Buy | 5 | 722.75 | 21/02/2018 | 21/02/20 |
| A3001 | A3003 | PF1812 | Buy | 6 | 722.75 | 21/02/2018 | 21/02/20 |
| A3001 | A3003 | PF1812 | Buy | 7 | 722.75 | 21/02/2018 | 21/02/20 |
| A3001 | A3003 | PF1812 | Buy | 8 | 722.75 | 21/02/2018 | 21/02/20 |
| Take Up Multiple Trades | | | | | | | |
| Reject Multiple Take Up | | | | | | | |

1. Under the *Give Up Awaiting Take Up Tab*, select multiple *Trade Rows* and right-click on it. Select *Take Up Multiple Trades*.



The dialog box contains the following fields:

- Account Details:**
 - Account ID: A3003_CN_XMAS12
 - Business Unit: XMAS12
 - Trading User: trader123
- Trades:**

| Tradable Instrument | Trade ID | Trade Date | Price | Quantity | Buy/Sell | From Clearer | Reference |
|---------------------|------------------|------------|--------|----------|----------|--------------|-----------------------|
| PF1812 | 115191809445401 | 21/02/2018 | 722.75 | 5 | Buy | A3001 | Multiple Give Up Test |
| PF1812 | 1151918090240701 | 21/02/2018 | 722.75 | 6 | Buy | A3001 | Multiple Give Up Test |
| PF1812 | 1151918090775601 | 21/02/2018 | 722.75 | 7 | Buy | A3001 | Multiple Give Up Test |
| PF1812 | 1151918091299701 | 21/02/2018 | 722.75 | 8 | Buy | A3001 | Multiple Give Up Test |
- Submit** button at the bottom right.

2. Select a receiving position account and check the details of all trades. If correct, click *Submit*.

| Pending Take Up Trades | | | | | | | | | Rejected Take Up Trades | | Taken Up Trades | | |
|------------------------|------------------------|----------|----------|---------|----------|--------|------------|--------|-------------------------|--|-----------------|--|--|
| (4) | | | | | | | | | | | | | |
| To Clearer | Account ID | Tradable | Business | Buy/Sel | Quantity | Price | Trade Date | Transa | | | | | |
| A3003 | A3003_CN_XMAS12 | PF1812 | XMAS12 | Buy | 5 | 722.75 | 21/02/2018 | | | | | | |
| A3003 | A3003_CN_XMAS12 | PF1812 | XMAS12 | Buy | 6 | 722.75 | 21/02/2018 | | | | | | |
| A3003 | A3003_CN_XMAS12 | PF1812 | XMAS12 | Buy | 7 | 722.75 | 21/02/2018 | | | | | | |
| A3003 | A3003_CN_XMAS12 | PF1812 | XMAS12 | Buy | 8 | 722.75 | 21/02/2018 | | | | | | |

3. The taken up trades will then be reflected under **Taken Up Trades Tab**.

To Reject Multiple Take Ups

| Pending Take Up Trades | | | | | | | | | Rejected Take Up Trades | | Taken Up Trades | | |
|------------------------|------------|----------|---------|----------|--------|------------|----------|--|-------------------------|--|-----------------|--|--|
| (4) | | | | | | | | | | | | | |
| From Cle | To Clearer | Tradable | Buy/Sel | Quantity | Price | Trade Date | Transa | | | | | | |
| A3001 | A3003 | PF1812 | Buy | 5 | 722.75 | 21/02/2018 | 21/02/20 | | | | | | |
| A3001 | A3003 | PF1812 | Buy | 6 | 722.75 | 21/02/2018 | 21/02/20 | | | | | | |
| A3001 | A3003 | PF1812 | Buy | 7 | 722.75 | 21/02/2018 | 21/02/20 | | | | | | |
| A3001 | A3003 | PF1812 | Buy | 8 | 722.75 | 21/02/2018 | 21/02/20 | | | | | | |

Take Up Multiple Trades

Reject Multiple Take Up

1. Under the **Pending Take Up Trades Tab**, select multiple **Trade Rows** and right-click on it. Select **Reject Multiple Take Up**.

Reject Multiple Take Up

| Message | | | | | | | |
|---|------------------|------------|--------|----------|----------|--------------|-----------|
| Reject Reason <input type="text" value="Reject Multiple Take Up Test"/> | | | | | | | |
| Trades | | | | | | | |
| Tradable Instrument | Trade ID | Trade Date | Price | Quantity | Buy/Sell | From Clearer | Reference |
| PF1812 | 1151918403202001 | 21/02/2018 | 722.75 | 5 | Buy | A3001 | |
| PF1812 | 1151918403202002 | 21/02/2018 | 722.75 | 6 | Buy | A3001 | |
| PF1812 | 1151918403202003 | 21/02/2018 | 722.75 | 7 | Buy | A3001 | |
| PF1812 | 1151918403202004 | 21/02/2018 | 722.75 | 8 | Buy | A3001 | |

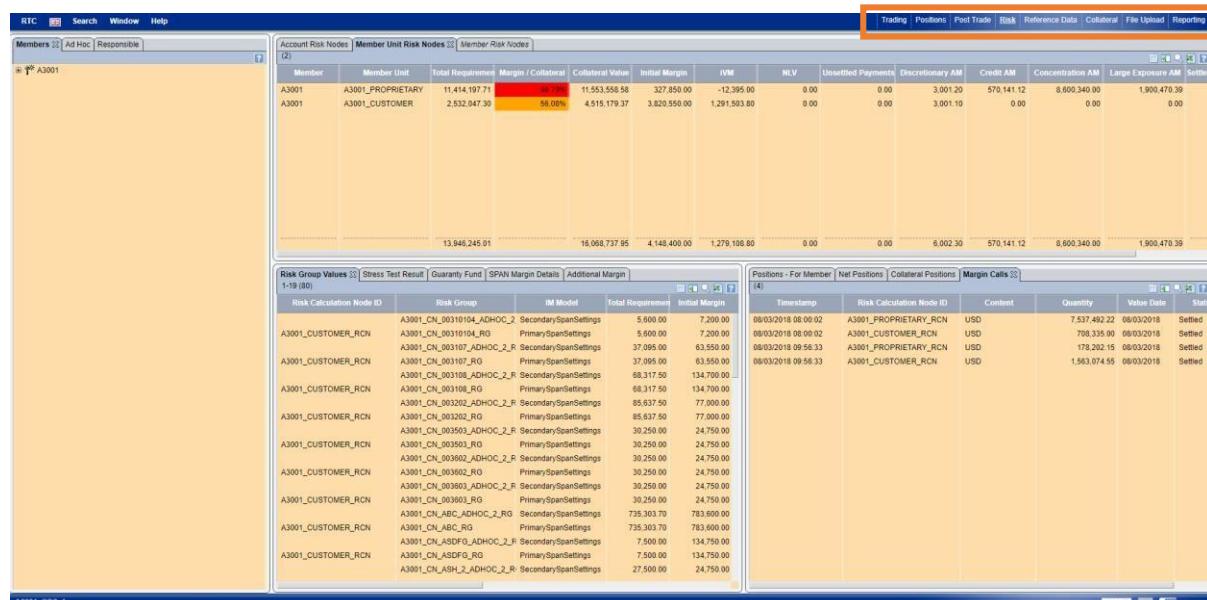
Submit

2. Key in a reason for rejecting the trades. Check the details of all trades and click **Submit** to confirm.

| Pending Take Up Trades | | | | | | | | | | | | Rejected Take Up Trades | | Taken Up Trades | |
|--|------------|----------|---------|----------|--------|------------|---------------------|----------------------|------------------|------------------|------------------------------|-------------------------|--|-----------------|--|
| (4) | | | | | | | | | | | | | | | |
| Reject Reason = Reject Multiple Take Up Test | | | | | | | | | | | | | | | |
| From Cle | To Clearer | Tradable | Buy/Sel | Quantity | Price | Trade Date | Transaction Time | Time of Modification | Trade ID | Take Up ID | Reject Reason | | | | |
| A3001 | A3003 | PF1812 | Buy | 8 | 722.75 | 21/02/2018 | 21/02/2018 10:41:52 | 21/02/2018 11:37:52 | 1151918403202004 | 1151918405495402 | Reject Multiple Take Up Test | | | | |
| A3001 | A3003 | PF1812 | Buy | 6 | 722.75 | 21/02/2018 | 21/02/2018 10:41:42 | 21/02/2018 11:37:52 | 1151918403202002 | 1151918405496002 | Reject Multiple Take Up Test | | | | |
| A3001 | A3003 | PF1812 | Buy | 7 | 722.75 | 21/02/2018 | 21/02/2018 10:41:47 | 21/02/2018 11:37:52 | 1151918403202003 | 1151918405496102 | Reject Multiple Take Up Test | | | | |
| A3001 | A3003 | PF1812 | Buy | 5 | 722.75 | 21/02/2018 | 21/02/2018 10:41:34 | 21/02/2018 11:37:52 | 1151918403202001 | 1151918405496302 | Reject Multiple Take Up Test | | | | |

3. The rejected take up trades will then be reflected under *Rejected Take Up Trades Tab*.

6 RISK PERSPECTIVE



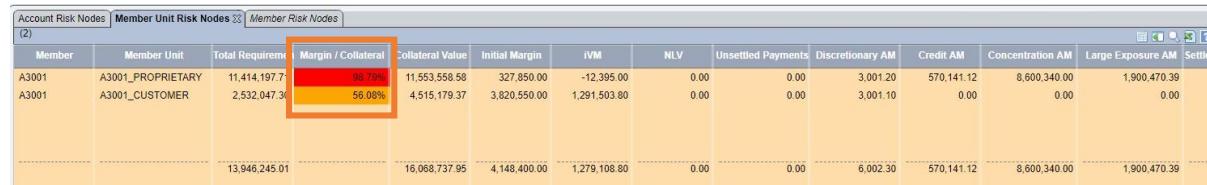
The screenshot shows the APEX Risk Perspective interface. At the top, there's a menu bar with 'RTC', 'Search', 'Window', and 'Help'. Below the menu is a toolbar with buttons for 'Members', 'Ad Hoc', 'Responsible', 'Account Risk Nodes', 'Member Unit Risk Nodes', and 'Member Risk Nodes'. The main area contains several tables:

- Account Risk Nodes:** Shows a summary of risk nodes for member A3001 across two member units: PROPRIETARY (Total Requirements: 11,414,197.71) and CUSTOMER (Total Requirements: 2,532,047.30). The 'Margin / Collateral' column uses color coding: red for PROPRIETARY (98.79%) and yellow for CUSTOMER (56.08%). Other columns include 'Collateral Value', 'Initial Margin', 'IVM', 'NLV', 'Unsettled Payments', 'Discretionary AM', 'Credit AM', 'Concentration AM', 'Large Exposure AM', and 'Settler'.
- Risk Group Values:** A detailed table showing risk group values for various calculation nodes, grouped by member unit and risk group. It includes columns for 'Risk Calculation Node ID', 'Risk Group', 'IM Model', 'Total Requirement', 'Initial Margin', and 'SecondarySpanSettings'.
- Positions - For Member:** A table showing positions for member A3001 across four categories: PROPRIETARY, CUSTOMER, ABC, and ASH_2. It includes columns for 'Timestamp', 'Risk Calculation Node ID', 'Content', 'Quantity', 'Value Date', and 'Status'.

At the bottom of the interface, there's a navigation bar with buttons for 'Trading', 'Positions', 'Post Trade', 'Risk' (which is highlighted in orange), 'Reference Data', 'Collateral', 'File Upload', and 'Reporting'.

The **Risk Perspective** is used for the monitoring of margin requirements and margin calls. The breakdown of margin requirements and various special margins can be found here.

6.1 Understanding Colour Codes in the Risk Perspective



This screenshot shows a simplified view of the APEX Risk Perspective interface, focusing on the 'Margin / Collateral' column. The 'Margin / Collateral' column uses color coding to represent percentage values:

- Red:** > 100% (Purple; Issues margin call)
- Yellow:** > 80% (Red)
- Green:** > 50% (Yellow)
- Orange/Yellow:** > 0%
- Colourless:** = 0% (Colourless; May issue a margin call if there is no collateral value)

The table structure is similar to the one in the previous screenshot, showing risk nodes for member A3001 across two member units: PROPRIETARY and CUSTOMER. The 'Margin / Collateral' column is highlighted with a red border and shows the percentage values (98.79% for PROPRIETARY and 56.08% for CUSTOMER).

- Colour of the column represents the **Margin/Collateral** percentage value:
 - > 100% (Purple; Issues margin call)
 - > 80% (Red)
 - > 50% (Yellow)
 - > 0% (Orange/Yellow)
 - = 0% (Colourless; May issue a margin call if there is no collateral value)
- To view details of a margin call, please refer to [6.3 Margin Call](#).
- The **Margin/Collateral** percentage value is derived via:

$$< \frac{(\text{Initial Margin} - \text{Variable Margin} + \text{Additional Margin})}{\text{Collateral Value}} >$$

6.2 Special Margins

| Account Risk Nodes | | | | | | | | | | | Member Unit Risk Nodes | Member Risk Nodes |
|--------------------|---------------|-------------------|---------------------|------------------|----------------|--------------|------------------|-----------|------------------|-------------------|------------------------|-------------------|
| (2) | | | | | | | | | | | | |
| Member | Member Unit | Total Requirement | Margin / Collateral | Collateral Value | Initial Margin | iVM | Discretionary AM | Credit AM | Concentration AM | Large Exposure AM | Currency | |
| A3001 | A3001_CUSTOM | 9,199,825.00 | 57.82% | 10,659,066.74 | 7,651,800.00 | 1,488,582.50 | 0.00 | 0.00 | 0.00 | 0.00 | USD | |
| A3001 | A3001_PROPRIE | 207,582.50 | 0.00% | 72,910.44 | 153,850.00 | 345,890.00 | 0.00 | 0.00 | 0.00 | 0.00 | USD | |

1. The six types of special margins can be found under the *Member Unit Risk Nodes Tab*.

- The **Discretionary AM** consists of the **Special Margin for Liquidity, Delivery and Price Limit**.
- The **Credit AM** consists of the **Special Margin for Credit**. ○ The **Concentration AM** consists of the **Special Margin for Position Concentration**. ○ The **Large Exposure AM** consists of the **Special Margin for Large Exposure**.

6.3 Margin Calls

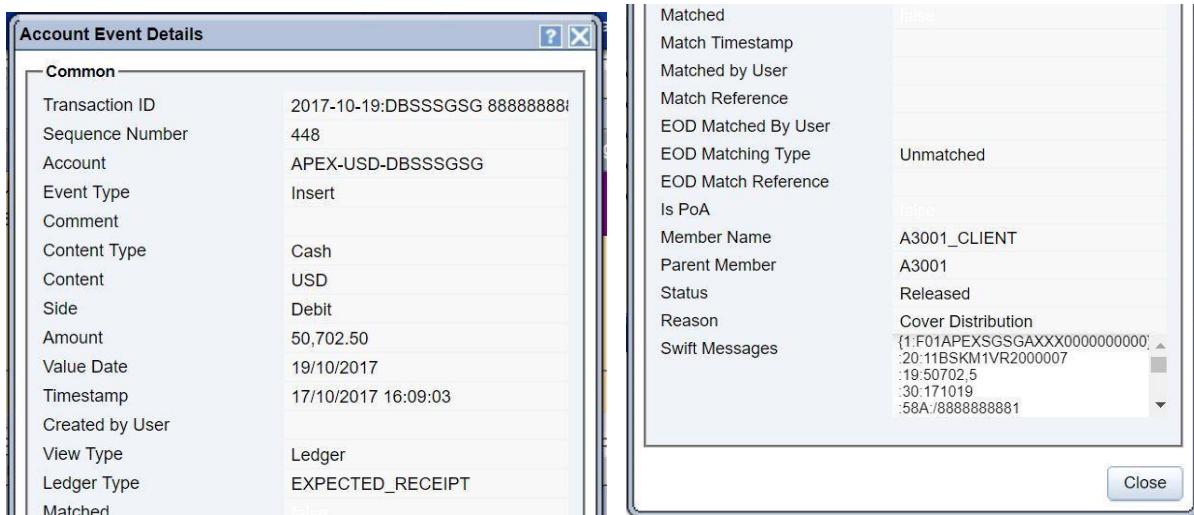
To View Account Event Details

| Margin Calls | | | | | | Positions - For Member | Net Positions | Collateral Positions | Collateral Positions |
|---------------------|--------------------------|---------|------------|------------|----------|------------------------|---------------|----------------------|----------------------|
| (5) | | | | | | | | | |
| Timestamp | Risk Calculation Node ID | Content | Quantity | Value Date | Status | Account Event Details | | | |
| 17/10/2017 16:09:03 | A3001_CLIENT_RCN | USD | 50,702.50 | 19/10/2017 | Released | Account Event Details | | | |
| 19/10/2017 15:46:25 | A3001_CLIENT_RCN | USD | 45,331.00 | 20/10/2017 | Released | Filter by Value | | | |
| 19/10/2017 15:46:25 | A3001_HOUSE_RCN | USD | 107,645.00 | 20/10/2017 | Released | | | | |

1. Under the Margin Calls Tab, right-click on the corresponding *Margin Call Row* and click *Account Event Details*.

➤ Margin Call Status includes the following:

- **Released**: The Clearing House has sent a SWIFT instruction to the Settlement Bank to call in the margin call amount.
- **Cancelled**: The Clearing House has rescinded the margin call amount.
- **Settled**: The Clearing House has received the margin call amount.



2. The details of the margin call will be displayed in a dialog box.

7 REFERENCE DATA PERSPECTIVE

Trading Positions Post Trade Risk **Reference Data** Collateral File Upload Reporting

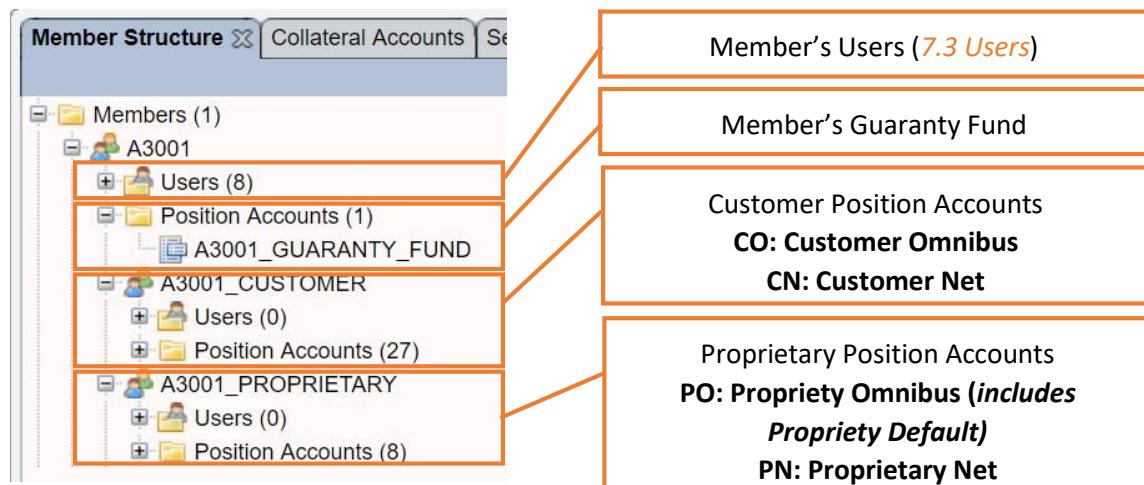
| ID | Request Time | Description | Comment | Request Owner Ref |
|------------------|---------------------|-----------------------------------|---|-------------------|
| 1515373059557-5 | 08/01/2018 08:57:39 | Lodge/Withdraw Collateral Request | Type Withdraw, Instrument: UsdCash, Quantity: 2,000, Date: 2018-01-08 | A3001_OPS_1 A: |
| 1515373012255-4 | 08/01/2018 08:56:52 | Lodge/Withdraw Collateral Request | Type Lodge, Instrument: UsdCash, Quantity: 1,000, Date: 2018-01-08 | A3001_OPS_1 A: |
| 1515118614893-13 | 05/01/2018 10:16:54 | Lodge/Withdraw Collateral Request | Type Withdraw, Instrument: UsdCash, Quantity: 1,000, Date: 2018-01-05 | A3001_OPS_2 A: |
| 1515117643194-12 | 05/01/2018 10:00:43 | Lodge/Withdraw Collateral Request | Type Lodge, Instrument: UsdCash, Quantity: 1,000, Date: 2018-01-05 | A3001_OPS_2 A: |
| 1515117336037-11 | 05/01/2018 09:55:36 | Lodge/Withdraw Collateral Request | Type Withdraw, Instrument: UsdCash, Quantity: 100, Date: 2018-01-05 | A3001_OPS_1 A: |
| 1515116700333-10 | 05/01/2018 09:45:00 | Lodge/Withdraw Collateral Request | Type Withdraw, Instrument: UsdCash, Quantity: 1,000, Date: 2018-01-05 | A3001_OPS_2 A: |
| 1514942153056-12 | 03/01/2018 09:15:53 | Lodge/Withdraw Collateral Request | Type Withdraw, Instrument: UsdCash, Quantity: 100, Date: 2018-01-03 | A3001_OPS_1 A: |
| 1514877976107-59 | 02/01/2018 15:26:16 | Lodge/Withdraw Collateral Request | Type Lodge, Instrument: UsdCash, Quantity: 20,000, Date: 2018-01-02 | A3001_OPS_1 A: |
| 1514877963751-58 | 02/01/2018 15:26:03 | Lodge/Withdraw Collateral Request | Type Withdraw, Instrument: UsdCash, Quantity: 500,000, Date: 2018-01-02 | A3001_OPS_1 A: |

Members (1) A3001
A3001
Users (6)
Position Accounts (1)
A3001_DEFAULT_FUND
A3001_CUSTOMER
Users (0)
Position Accounts (29)
A3001_CN_00310104
A3001_CN_003107
A3001_CN_003108
A3001_CN_003202
A3001_CN_003503
A3001_CN_003602
A3001_CN_003603
A3001_CN_ABC
A3001_CN_ASDFG
A3001_CN_ASH_1
A3001_CN_ASH_2
A3001_CN_M9678
A3001_CN_SHELTONXIE
A3001_CN_TZEYONG123
A3001_CO_003101
A3001_CO_003104
A3001_CO_003105_A
A3001_CO_003106
A3001_CO_00319901
A3001_CO_003201
A3001_CO_003501
A3001_CO_003502

The **Reference Data Perspective** is primarily used to access the Request Approval Tab. Other useful information such as the audit trail of user logins, collateral limits and Member structure can be found here.

7.1 Member Structure

To View Member Structure



1. All users and position accounts will be shown under the **Member Structure Tab**.

To Create a Position Account

For more details, please refer to **APEX MCMS User Guide (Members)**.

7.2 Logged In Users

| Logged in Users | | | |
|-----------------|-------------|--------|---------------------|
| User | Name | Member | Last Login |
| A3001_OPS_2 | A3001_OPS_2 | A3001 | 04/01/2018 15:14:01 |

1. All active users will be shown under the **Logged in Users Tab**.

7.3 Users

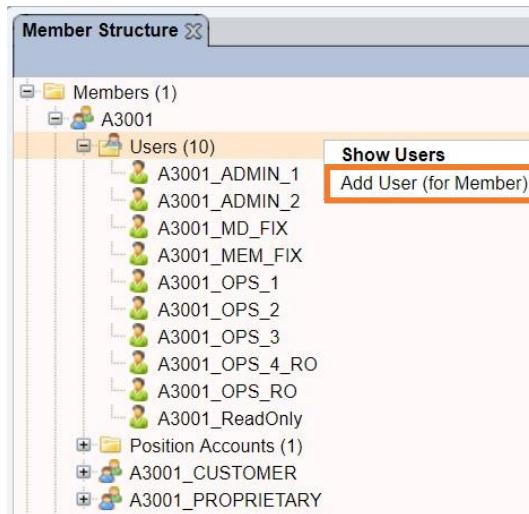
| Logged in Users | | | | | | | |
|-------------------|------------------------------|--------|---------------------|---------------------|----------|---|-------|
| Users | | | | | | | |
| Request Approval | | | | | | | |
| Collateral Limits | | | | | | | |
| User | Name | Member | Last Login | Last Logout | Disabled | | Roles |
| A3001_ADMIN_U1 | A3001 Administration | A3001 | 26/06/2013 13:58:29 | 26/06/2013 18:11:48 | false | CLEARING_MEMBER_ADMINISTRATION,CLEARING_MEMBER_ADMINISTRATION_APPROVE | |
| A3001_ADMIN_U2 | A3001 Administration Approve | A3001 | 26/06/2013 13:58:29 | 26/06/2013 18:11:48 | false | CLEARING_MEMBER_ADMINISTRATION_APPROVE | |
| A3001_FSMEM_U1 | A3001_FSMEM_U1 | A3001 | | | false | FIX_CLEARING_USER | |
| A3001_FSMEM_U2 | A3001_FSMEM_U2 | A3001 | | | false | FIX_CLEARING_USER | |
| A3001_OPS_U1 | A3001_OPS_U1 | A3001 | 20/03/2018 10:48:59 | 20/03/2018 10:41:17 | false | CLEARING_MEMBER_OPERATIONS,CLEARING_MEMBER_OPERATIONS_APP | |
| A3001_OPS_U2 | A3001_OPS_U2 | A3001 | 26/06/2013 13:58:29 | 26/06/2013 18:11:48 | false | CLEARING_MEMBER_OPERATIONS,CLEARING_MEMBER_OPERATIONS_APP | |

1. Details of all Member users will be shown under the **Users Tab**.

- **Last Login:** This field will show the date and time of the user's last successful login. If this field is blank, the new user has not logged in.
- **Last Logout:** This field will show the date and time of the user's last logout. If this field is blank, the new user has not logged out.

- **Disabled:** if a user is enabled, this field will show “False”. Whereas, if a user is disabled, this field will show “True”.

To Add a User



1. Under *Member Structure Tab*, expand the tree, right-click on the *Users Folder* and select *Add User (for Member)*.

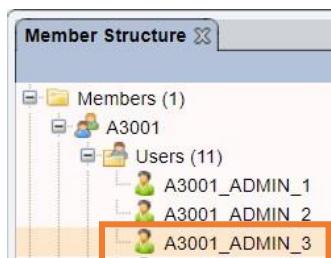
- Only an **Admin User** is able to add other users.

2. Enter the required information and select the roles for the user. Select *Submit* to confirm.

- **Administrator Roles:** Clearing Member Administration Approve, Clearing Member Administration Change
- **Operational Roles:** Clearing Member Operations Approval, Clearing Member Operations Change
- **Read Only Role:** Clearing Member Operations Read only

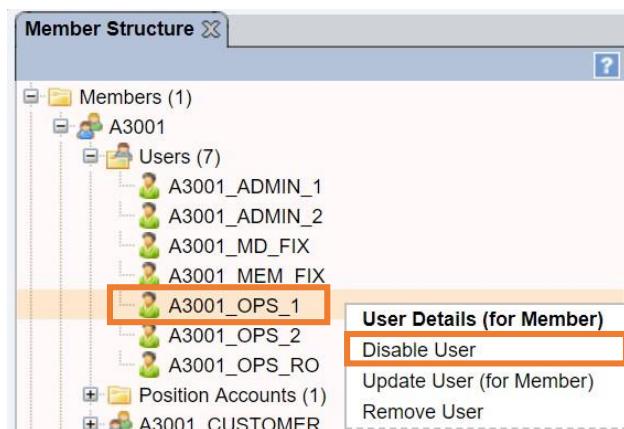


3. Right-click on the *newly created User Icon* and select *Enable User*. Select *Enable* to confirm.
4. Get approval from another admin user as required by the 4-eyes request approval function ([7.4 4-Eyes Request Approval](#)).

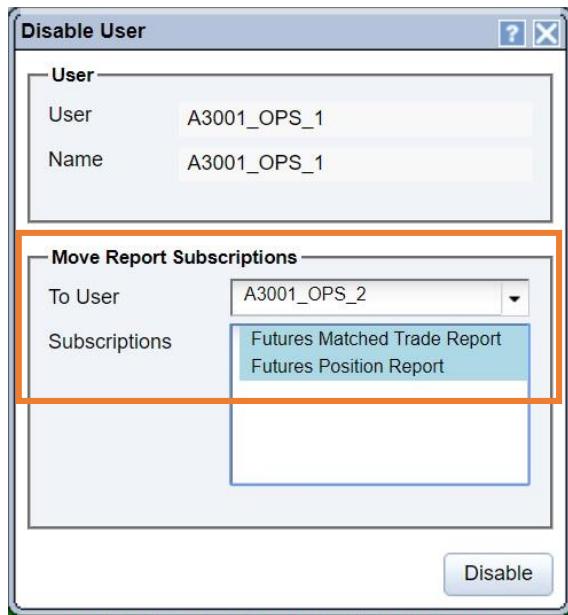


5. Once enabled, the *User Icon* will change from grey to green.

To Disable a User

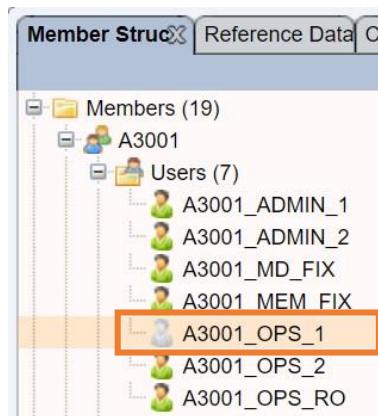


1. Under *Member Structure Tab*, expand the tree, right-click on a *User Icon* and select *Disable User*.
- Only an **Admin User** is able to disable other users.



2. If there are any report subscriptions ([10.1 Subscribing to Reports](#)) set up for this user, the system will display the affected reports under **Subscriptions**. To move the reports to another user, select a user from the dropdown list and choose the reports.
3. Select **Disable** to confirm.
4. Get approval from another admin user as required by the 4-eyes request approval function ([7.4 4-Eyes Request Approval](#)).

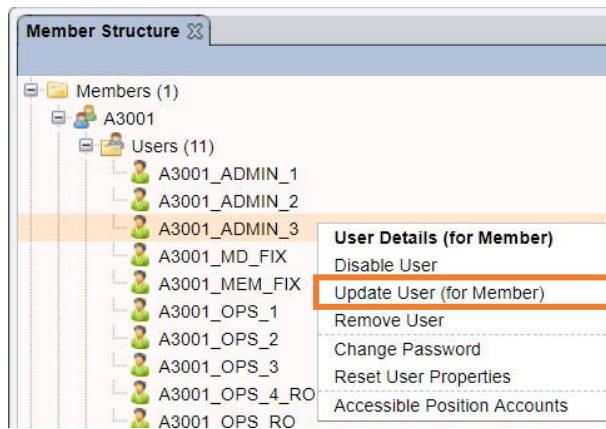
➤ **Move Report Subscriptions:** To cancel the subscriptions set up by this user, do not select a user from the dropdown list.



5. Once disabled, the **User Icon** will turn from green to grey.

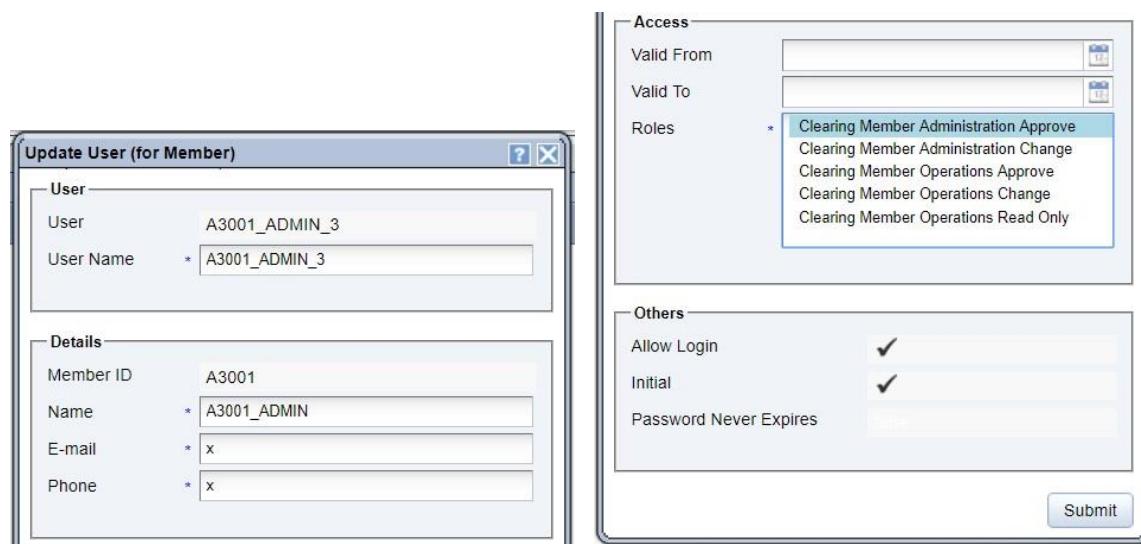
➤ To enable the user, please refer to [To Add a User, points 3 to 5](#).

To Update a User



- Under **Member Structure Tab**, expand the tree, right-click on a **User Icon** and select **Update User (for Member)**.

➤ Only an **Admin User** is able to update the details of other users.



User

| | |
|-----------|-----------------|
| User | A3001_ADMIN_3 |
| User Name | * A3001_ADMIN_3 |

Details

| | |
|-----------|---------------|
| Member ID | A3001 |
| Name | * A3001_ADMIN |
| E-mail | * x |
| Phone | * x |

Access

| | |
|------------|--|
| Valid From | [] |
| Valid To | [] |
| Roles | * Clearing Member Administration Approve Clearing Member Administration Change Clearing Member Operations Approve Clearing Member Operations Change Clearing Member Operations Read Only |

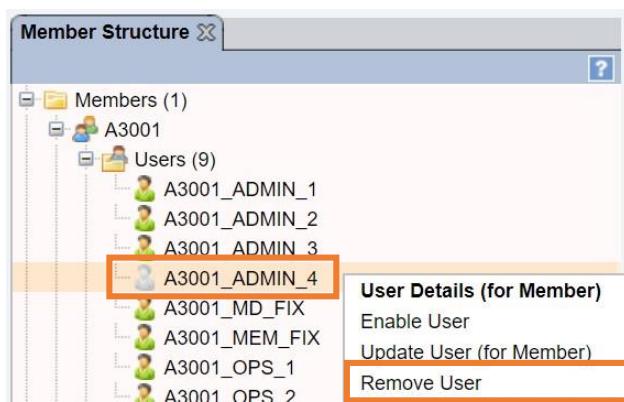
Others

| | |
|------------------------|-------------------------------------|
| Allow Login | <input checked="" type="checkbox"/> |
| Initial | <input checked="" type="checkbox"/> |
| Password Never Expires | <input type="checkbox"/> |

Submit

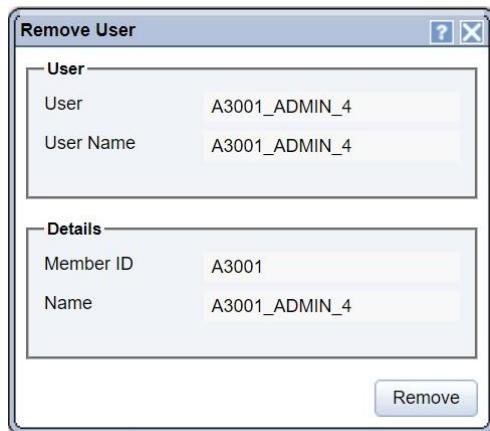
- Update the details and roles of the user. Select **Submit** to confirm.
- Get approval from another admin user as required by the 4-eyes request approval function ([7.4 4-Eyes Request Approval](#)).

To Remove a User



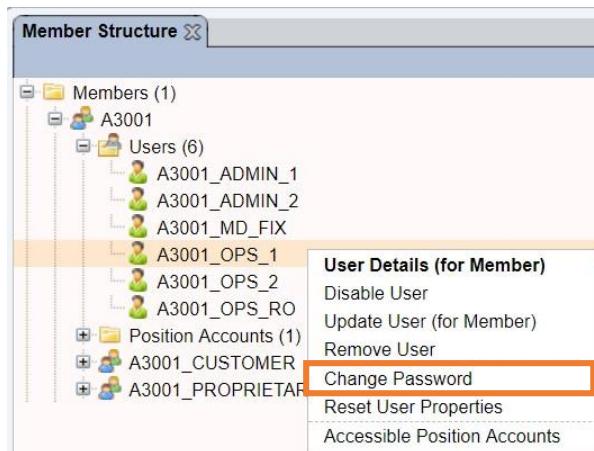
- Under **Member Structure Tab**, expand the tree, right-click on a **User Icon** and select **Remove User**.

- Only an **Admin User** is able to remove other users.
- Only users which have never been enabled can be removed.



- Check the details of the user and select **Remove** to confirm.
- Get approval from another admin user as required by the 4-eyes request approval function ([7.4 4-Eyes Request Approval](#)).
- Once approved, the user will be removed from the **Member Structure Tab**.

To Reset a User's Password



- Under **Member Structure Tab**, expand the tree, right-click on a **User Icon** that needs a password reset.

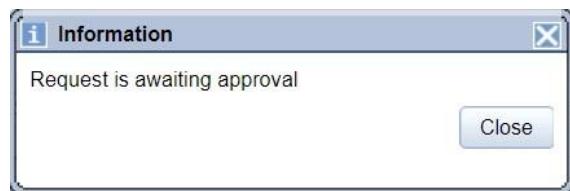
➤ Only an **Admin User** is able to reset the password for other users.



- Select **Change Password** and enter the new password. Tick the **Initial** and **Allow Login boxes**. Click **Change** to confirm.

➤ The new password must conform to the configured minimum length of eight characters, which contains at least one digit and one letter.
 ➤ **Initial:** If the box is ticked, the user must change password at first login.
 ➤ **Allow Login:** If the box is ticked, the user is able to log in. To remove the user's access to the system, untick this box.

7.4 4-Eyes Request Approval

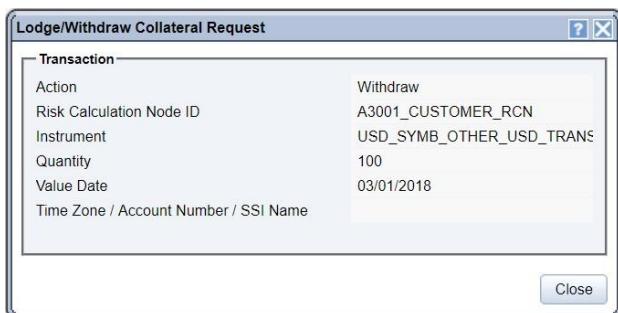


1. A 4-Eyes request approval is needed whenever this dialog box appears.
2. It will appear in [8.1 Collateral Deposit or Withdrawal](#), [9.1 Trade Transfer](#) and [7.3 Users](#).

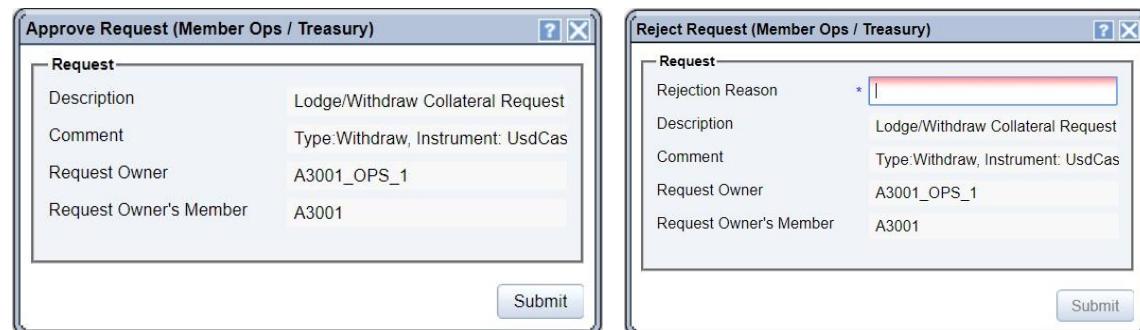
To View, Approve or Reject a Request



| Request Approval | | | | | | |
|------------------|---------------------|-----------------------------------|---|---------------|--------|---|
| ID | Request Time | Description | Comment | Request Owner | Status | Approval |
| 1514942153056-12 | 03/01/2018 09:15:53 | Lodge/Withdraw Collateral Request | Type:Withdraw, Instrument: UsdCash, Quantity: 100, Date: 2018-01-03 | | | Lodge/Withdraw Collateral Request |
| 1514877976107-59 | 02/01/2018 15:26:16 | Lodge/Withdraw Collateral Request | Type:Lodge, Instrument: UsdCash, Quantity: 20,000, Date: 2018-01-02 | | | Approve Request (Member Ops / Treasury) |
| 1514877963751-58 | 02/01/2018 15:26:03 | Lodge/Withdraw Collateral Request | Type:Withdraw, Instrument: UsdCash, Quantity: 500,000, Date: 2018-01-02 | | | Reject Request (Member Ops / Treasury) |



1. Under the [Request Approval Tab](#), right-click on the corresponding [Open Status Row](#).
2. To show details of a request, select [Lodge/Withdraw Collateral Request](#) and the information will be displayed in a dialog box.



3. To approve the request, select [Approve Request \(Member Ops\)](#) and click [Submit](#).
4. To reject the request, select [Reject Request \(Member Ops\)](#), enter a reason, and click [Submit](#).

➤ A second operations user has to check and approve/reject the request.

7.5 Collateral Limits

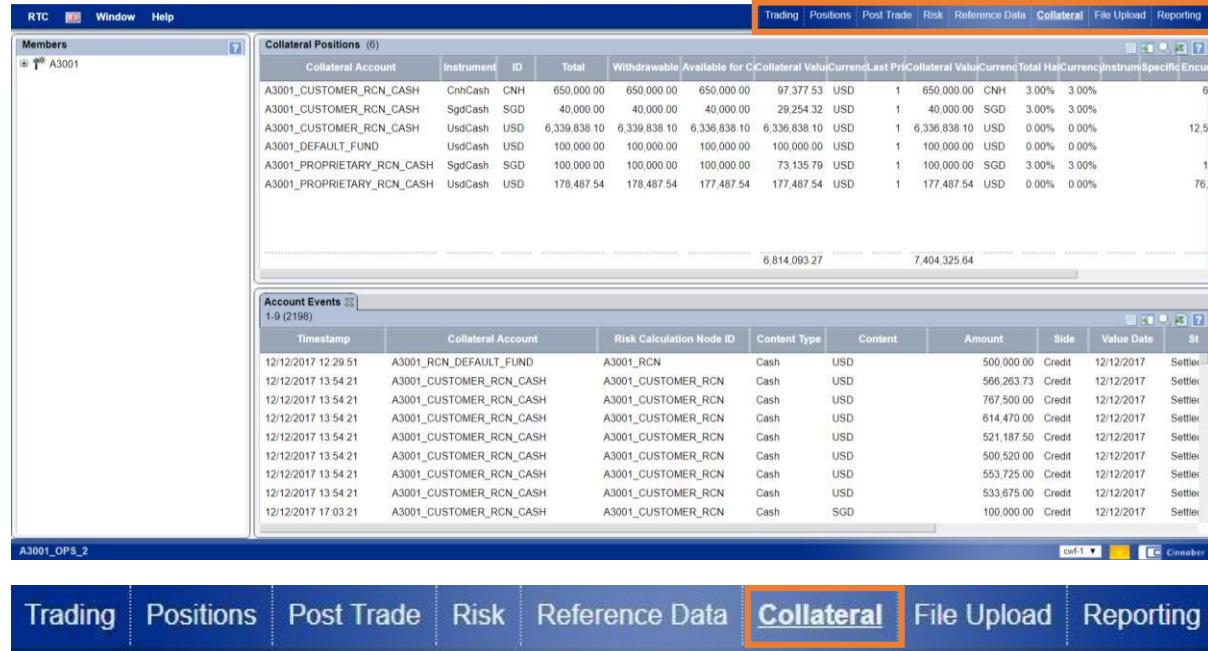
| Collateral Limits (12) | | | | | | |
|------------------------|----------------------|----------|------|-----------------|-------------------|----------|
| Currency | Business Date Offset | CSD | Side | Collateral Type | Cutoff | Quantity |
| CNH | 0 | Lodge | Cash | 11:30:00 | 1,000,000,000,000 | |
| CNH | 0 | Withdraw | Cash | 17:30:00 | 50,000,000 | |
| CNH | 1 | Lodge | Cash | 11:30:00 | 1,000,000,000,000 | |
| CNH | 1 | Withdraw | Cash | 12:30:00 | 50,000,000 | |
| SGD | 0 | Lodge | Cash | 11:30:00 | 1,000,000,000,000 | |
| SGD | 0 | Withdraw | Cash | 15:30:00 | 50,000,000 | |
| SGD | 1 | Lodge | Cash | 11:30:00 | 1,000,000,000,000 | |
| SGD | 1 | Withdraw | Cash | 10:30:00 | 50,000,000 | |
| USD | 0 | Lodge | Cash | 11:30:00 | 1,000,000,000,000 | |
| USD | 0 | Withdraw | Cash | 20:30:00 | 50,000,000 | |
| USD | 1 | Lodge | Cash | 11:30:00 | 100,000,000,000 | |
| USD | 1 | Withdraw | Cash | 10:30:00 | 50,000,000 | |

1. Collateral deposit/withdrawal quantity limit and cut-off timing will be shown under the **Collateral Limits Tab**.

➤ **Business Date Offset:** The number of business days away from the current business day.

- 0 = Collateral limit for **same** value date under [8.1 Collateral Deposit or Withdrawal](#)
 - 1 = Collateral limit for **next** value date under [8.1 Collateral Deposit or Withdrawal](#)
- **Quantity:** The amount follows the stated currency.

8 COLLATERAL PERSPECTIVE



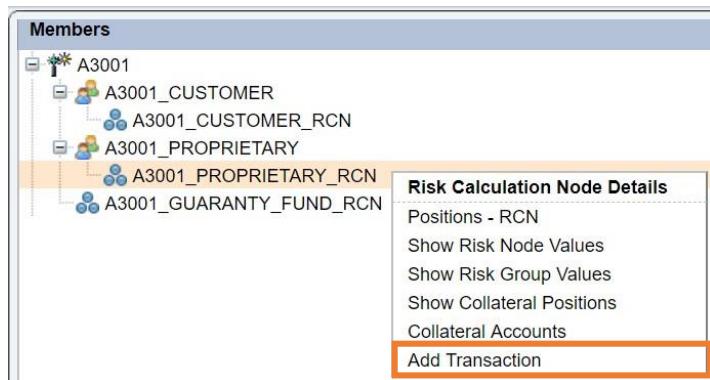
The screenshot shows the APEX platform's 'Collateral Perspective' section. At the top, there are tabs for Trading, Positions, Post Trade, Risk, Reference Data, **Collateral**, File Upload, and Reporting. The 'Collateral' tab is highlighted with a red box. Below the tabs, there are two main data tables:

- Collateral Positions (6):** This table lists six entries for different collateral accounts, detailing their type (e.g., CnhCash, SgdCash, UsdCash), instrument (e.g., CNH, SGD, USD), total amount, withdrawable amount, available for collateral value, current and last collateral values, current and total held amounts, and specific currency and instrument details. The table has 6 rows and 12 columns.
- Account Events (1,8 (2198)):** This table lists 2,198 events across 1,8 accounts, showing timestamp, collateral account, risk calculation node ID, content type, content, amount, side, value date, and status. The table has 11 columns.

The **Collateral Perspective** displays the details of each collateral accounts and the audit trail for each transaction. Collateral withdrawal and deposit requests can be submitted here.

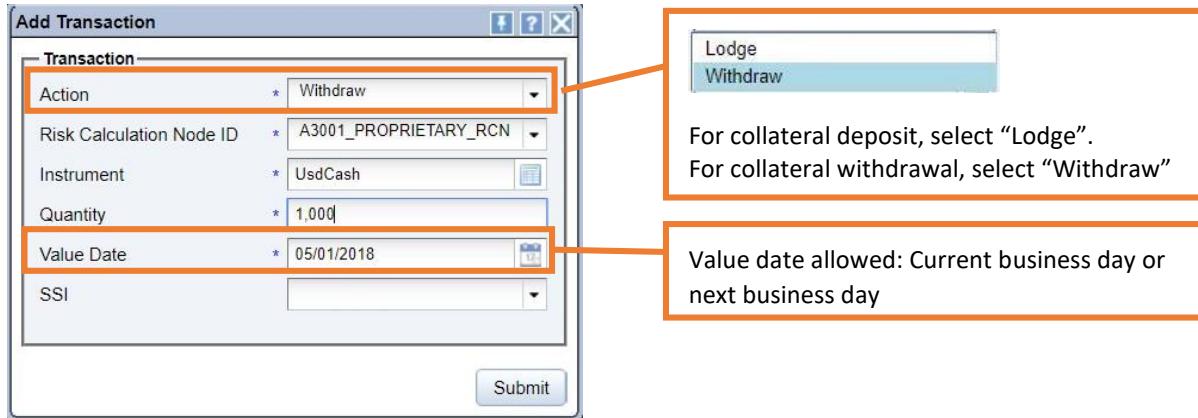
8.1 Collateral Deposit or Withdrawal

To Deposit or Withdraw Collateral



1. Under the **Members View**, right-click on the corresponding **Risk Calculation Node (RCN) Icon** and click **Add Transaction**.

- Right-click **[MemberID]_CUSTOMER_RCN** for collateral deposit/withdrawal relating to the Customer Member Unit. For transactions relating to the Proprietary Member Unit, right-click **[MemberID]_PROPRIETARY_RCN**.
- Please contact the Operations department for any collateral deposit/withdrawal relating to the Member's Guaranty Fund (**[MemberID]_PROPRIETARY_RCN**).



| Transaction | |
|--------------------------|-------------------------|
| Action | * Withdraw |
| Risk Calculation Node ID | * A3001_PROPRIETARY_RCN |
| Instrument | * UsdCash |
| Quantity | * 1,000 |
| Value Date | * 05/01/2018 |
| SSI | |
| Submit | |

2. Enter the appropriate values and click **Submit** to confirm.
3. Get approval from another operations user as required by the 4-eyes request approval function ([7.4 4-Eyes Request Approval](#)).
- For more information regarding collateral limits, please refer to [7.5 Collateral Limits](#).
- Risk calculation Node ID:** Default setup to the Risk Node that was selected.

| Collateral Positions (1) | | | | | | |
|----------------------------|------------|-----|------------|---------------------|-------------------------|-----------------|
| Collateral Account | Instrument | ID | Total | Available for Cover | Collateral Value (Base) | Currency (Base) |
| A3001_PROPRIETARY_RCN_CASH | UsdCash | USD | 352,422.54 | 352,422.54 | 352,422.54 | USD |

| Collateral Positions (1) | | | | | | |
|----------------------------|------------|-----|------------|---------------------|-------------------------|-----------------|
| Collateral Account | Instrument | ID | Total | Available for Cover | Collateral Value (Base) | Currency (Base) |
| A3001_PROPRIETARY_RCN_CASH | UsdCash | USD | 352,422.54 | 351,422.54 | 351,422.54 | USD |

4. Once approved, the withdrawal/deposit amount will be deducted from/added to **Available for Cover Column**.

- Next Business Day's withdrawable amount can be viewed from the 1st ITD Margin Call Report generated at after the 1st ITD Clearing Cycle (approximately 23:35).
- To download the ITD Margin Call report, please refer to [10.2 Generating and Downloading Reports](#). Alternatively, the ITD Margin Call report can be viewed via sFTP ([10.4 Secured File Transfer Protocol \(sFTP\)](#)).

9 FILE UPLOAD PERSPECTIVE

The screenshot shows the APEX application interface for file upload. At the top, there is a navigation bar with links for RTC, Window, Help, File Upload, Trading, Positions, Post Trade, Risk, Reference Data, Collateral, File Upload, and Reporting. The 'File Upload' link is highlighted.

The main area contains two tabs:

- Files (10)**: This tab displays a list of uploaded files. Each row includes columns for File ID, File Type, File Name, State, Validation Status, Created, Modified, and Comment. Most rows have a 'Correct' validation status, except for one with 'Error'. Some rows also have a 'Found 1 validation' message.
- Position transfer status (1-9 (10))**: This tab displays a list of position transfer statuses. Each row includes columns for Line, Updated, Status, Comment, Current Source, Source Account, Source, Destination, Destination Account, Destination Instrument, Underly, Prompt Date, Strike, P/Trade ID, Trade Date, and Trade I. Most rows have an 'Error' status, except for one with 'Rejected' or 'Transferred'.

At the bottom, there is a footer with links for Trading, Positions, Post Trade, Risk, Reference Data, Collateral, File Upload, and Reporting. The 'File Upload' link is highlighted again.

The File Upload Perspective is used to support alternative post trade functions such as trade transfer and position close out.

9.1 Position Close Out

To Initiate a Position Close Out Request

 Closeout_A3001_20180104

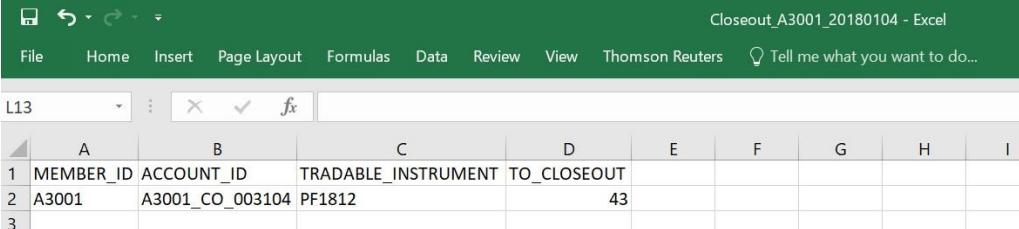
 Closeout_A3001_20180104 - Notepad
 File Edit Format View Help
 MEMBER_ID,ACCOUNT_ID,TRADABLE_INSTRUMENT,TO_CLOSEOUT
 A3001,A3001_CO_003104,PF1812,43

1. Change the Excel file name to
<Closeout Member ID Transfer Date YYYYMMDD>.
2. Open the Excel file in *Notepad Format* and edit the values where applicable.

 Closeout_A3001_20180104 - Notepad
 File Edit Format View Help
 MEMBER_ID,ACCOUNT_ID,TRADABLE_INSTRUMENT,TO_CLOSEOUT
 A3001,A3001_CO_003101,PF1812,10
 A3001,A3001_CO_003104,PF1812,15
 A3001,A3001_CO_003101,PF1901,20

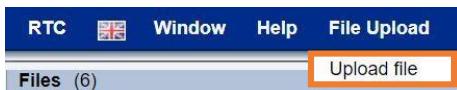
3. If there are multiple Open Positions to be closed out, please use a new line for each Open Position.

Closeout_A3001_20180104 - Excel

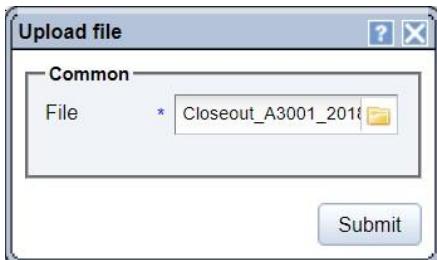


| | A | B | C | D | E | F | G | H | I |
|---|-----------|-----------------|---------------------|-------------|---|---|---|---|---|
| 1 | MEMBER_ID | ACCOUNT_ID | TRADABLE_INSTRUMENT | TO_CLOSEOUT | | | | | |
| 2 | A3001 | A3001_CO_003104 | PF1812 | 43 | | | | | |
| 3 | | | | | | | | | |

4. Re-check the details in *Excel Format*.



5. Under *File Upload Tab*, click *Upload File*.



6. Input the close out excel file and click *Submit* to confirm.

| Files (1) | | | | | | |
|--|----------------------------|-----------|-----------------------------|-------|------------|----------------------------|
| ☒ State = New | | | | | | |
| Uploader | File ID | File Type | File Name | State | Validation | Created |
| A3001 | FILE-A3001-151506042861520 | Close Out | Closeout_A3001_20180104.csv | New | Correct | 01/01/2018 18:07:08 -04:00 |
| Close Out Details Close Out Proposal | | | | | | |

| Close Out Proposal | | | | | | |
|--------------------|---------------|---------------------|--------------|-------------|--------------|------------|
| (1) | | | | | | |
| Member ID | Account ID | Tradable Instrument | To Close Out | Before Long | Before Short | After Long |
| A3001 | A3001_CO_0031 | PF1812 | 43 | 361 | 243 | 318 |
| | | | | | | 200 |

7. Right-click on the **Close Out Request Row** and select **Close Out Proposal**. Check the details in the dialog box.

| Files (1) | | | | | | | | | |
|--|----------------------------|-----------|-----------------------------|-------|------------|----------------------------|--------|--|---------------|
| ☒ State = New | | | | | | | | | |
| Uploader | File ID | File Type | File Name | State | Validation | Created | | | |
| A3001 | FILE-A3001-151506042861520 | Close Out | Closeout_A3001_20180104.csv | New | Correct | 01/01/2018 18:07:08 -04:00 | | | |
| Close Out Details Close Out Proposal Approve Close Out Cancel Close Out | | | | | | | | | |
| Approve Close Out <table border="1"> <tr> <td>Common</td> </tr> <tr> <td>Close Out File ID FILE-A3001-151506042861520</td> </tr> <tr> <td>Submit</td> </tr> </table> | | | | | | | Common | Close Out File ID FILE-A3001-151506042861520 | Submit |
| Common | | | | | | | | | |
| Close Out File ID FILE-A3001-151506042861520 | | | | | | | | | |
| Submit | | | | | | | | | |

8. If the details are correct, right-click on the **Close Out Request Row** and select **Approve Close Out**. Click **Submit** to confirm.

| Uploader | File ID | File Type | File Name | State | Validation |
|----------|----------------------------|-----------|-----------------------------|-----------|------------|
| A3001 | FILE-A3001-151506042861520 | Close Out | Closeout_A3001_20180104.csv | Completed | Correct |

9. Once submitted, its state will change from **New** to **Completed**.

| Positions - For Member Expired Futures | | | | | | | |
|---|--------|--------------------------------|--|------|-------|-----|----------------|
| (1) | | | | | | | |
| ☒ Tradable Instrument = PF1812 | | ☒ Account ID = A3001_CO_003104 | | Long | Short | Net | iVM |
| A3001_CO_003104 | PF1812 | | | 318 | 200 | 118 | 361,080.00 |
| | | | | | | | 0.00 |
| | | | | | | | A3001 |
| | | | | | | | A3001_CUSTOMER |

10. Likewise, in **Positions Perspective**, its position will be updated under the **Positions – For Members Tab**.

- Position Close Out is only applicable to Omnibus accounts.

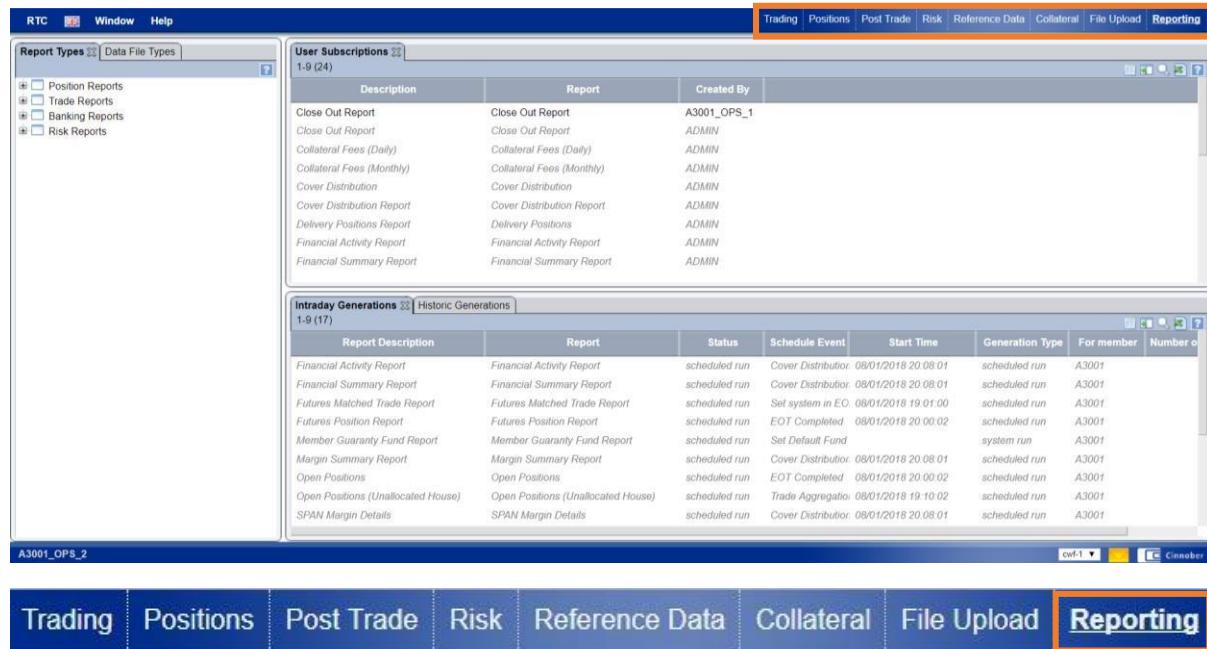
- Please note that position closeout is only available from 19:15 to 19:59 after trade aggregation.

To View Top Day Trades & Reverse an Approved Position Close Out

Please refer to [4.2 Position Close Out](#) for more details.

- Please note that if a reversal is done on a file with multiple positions close out, it will result in all close outs to be reversed.
- In the event of an error, reverse the erroneous position close out file (refer to [4.2 Position Close Out](#)) and upload a new file with the correct details (refer to [9.3 Position Close Out](#)).

10 REPORTING PERSPECTIVE



The screenshot shows the APEX Reporting Perspective interface. At the top, there is a menu bar with 'RTC', 'Window', and 'Help'. Below the menu is a toolbar with buttons for 'Trading', 'Positions', 'Post Trade', 'Risk', 'Reference Data', 'Collateral', 'File Upload', and 'Reporting'. The 'Reporting' button is highlighted with a red box. The main area contains two windows:

- User Subscriptions**: This window lists various reports and their details. It includes columns for 'Description', 'Report', and 'Created By'. The data is as follows:

| Description | Report | Created By |
|---------------------------|---------------------------|-------------|
| Close Out Report | Close Out Report | A3001_OPS_1 |
| Close Out Report | Close Out Report | ADMIN |
| Collateral Fees (Daily) | Collateral Fees (Daily) | ADMIN |
| Collateral Fees (Monthly) | Collateral Fees (Monthly) | ADMIN |
| Cover Distribution | Cover Distribution | ADMIN |
| Cover Distribution Report | Cover Distribution Report | ADMIN |
| Delivery Positions Report | Delivery Positions | ADMIN |
| Financial Activity Report | Financial Activity Report | ADMIN |
| Financial Summary Report | Financial Summary Report | ADMIN |

- Intraday Generations**: This window lists scheduled reports and their details. It includes columns for 'Report Description', 'Report', 'Status', 'Schedule Event', 'Start Time', 'Generation Type', 'For member', and 'Number o'. The data is as follows:

| Report Description | Report | Status | Schedule Event | Start Time | Generation Type | For member | Number o |
|------------------------------------|------------------------------------|---------------|--------------------|---------------------|-----------------|------------|----------|
| Financial Activity Report | Financial Activity Report | scheduled run | Cover Distribution | 08/01/2018 20:08:01 | scheduled run | A3001 | |
| Financial Summary Report | Financial Summary Report | scheduled run | Cover Distribution | 08/01/2018 20:08:01 | scheduled run | A3001 | |
| Futures Matched Trade Report | Futures Matched Trade Report | scheduled run | Set system in EO | 08/01/2018 19:01:00 | scheduled run | A3001 | |
| Futures Position Report | Futures Position Report | scheduled run | EOT Completed | 08/01/2018 20:00:02 | scheduled run | A3001 | |
| Member Guaranty Fund Report | Member Guaranty Fund Report | scheduled run | Set Default Fund | | system run | A3001 | |
| Margin Summary Report | Margin Summary Report | scheduled run | Cover Distribution | 08/01/2018 20:08:01 | scheduled run | A3001 | |
| Open Positions | Open Positions | scheduled run | EOT Completed | 08/01/2018 20:00:02 | scheduled run | A3001 | |
| Open Positions (Unallocated House) | Open Positions (Unallocated House) | scheduled run | Trade Aggregatio | 08/01/2018 19:10:02 | scheduled run | A3001 | |
| SPAN Margin Details | SPAN Margin Details | scheduled run | Cover Distribution | 08/01/2018 20:08:01 | scheduled run | A3001 | |

The **Reporting Perspective** is used for the generation of various clearing reports and data files. The preset scheduled reports and data files can be found under [Intraday Generations](#). Other reports or data files can be generated via subscription.

10.1 Pre-scheduled Reports and Data Files

The following are a list of pre-scheduled reports and data files:

1. Cover Distribution Report [GENCCODSR]

This daily report shows the breakdown of the margin requirements at end of day.

2. Delivery Position Report [GENCDELPO]

This report is available on LTD + 2 and shows all Open Positions that are going into physical delivery process. If there are no deliverable positions, no report will be generated for this Member.

3. Financial Activity Report [GENCFINAR]

This daily report shows the details of all settled cash activities for each Member collateral account (includes Customer, Proprietary and Guaranty Fund).

4. Financial Summary Report [GENCFINSR]

This daily report provides the Member with a summary of all pending and settled cash activities and the cash balances for each Member collateral account (includes Customer, Proprietary and Guaranty Fund). Pending cash activities such as EOD margin call will also be reflected in this report.

5. Futures Matched Trade Report [GENCFUMTR]

This daily report contains a full audit trail of a Member's top day trades and includes any post trade activity.

6. Futures Position Report [GENCFUTPR]

This daily report provides details for each Open Position per Position Account and contains a row for all individual events that affect each position. Using an omnibus account as example: start of day position + matched trade – trade give up + position transfer in – close out = closing position

7. Margin Call Report [GENCMCALLR]

This report is available after each clearing cycle and provides information on the total margin requirements, utilized and available collateral balances, FX rate and haircut for that clearing cycle. There are three (3) reports, namely 1st ITD Margin Call Report, 2nd ITD Margin Call Report and EOD Margin Call Report.

8. Margin Summary Report [GENCSUMR]

This daily report shows the Member's margin requirements per position account.

9. Member Guaranty Fund Report [GENCMEDFR]

This monthly report provides the Member with details of the Members Guaranty Funds contribution and the change required.

10. Trade Fees (Monthly) [MFE]

This monthly report shows all fees for the previous month's trades. The report is in csv format and is available on the first Business Day after EOD.

11. Monthly Invoice [GENCMMFIR_USD]

This monthly invoice shows the total trading and clearing fee (inclusive of GST) for all trades in the previous month. This will be issued on the first Business Day of each month.

12. Open Positions [OPP]

This data file shows the Member's Open Positions.

13. SPAN Margin Details [SMD]

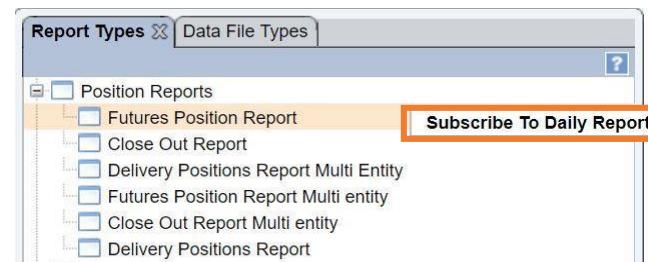
This daily data file shows the Member's initial margins broken down per SPAN component, for calculation transparency.

14. Trade Fees (Daily) [FEE]

This daily data file shows the trading and clearing fee (inclusive of GST) for each trade.

10.2 Subscribing to Reports and Data Files

To Subscribe to a Daily Report



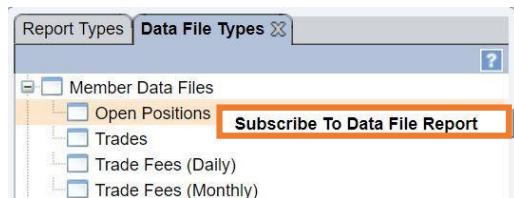
- Under the *Report Types Tab*, expand the *Report Tree*, right-click on the *Report Icon* and select *Subscribe to Daily Report*.

- Select the output file format and scheduling timing, and click *Subscribe*.

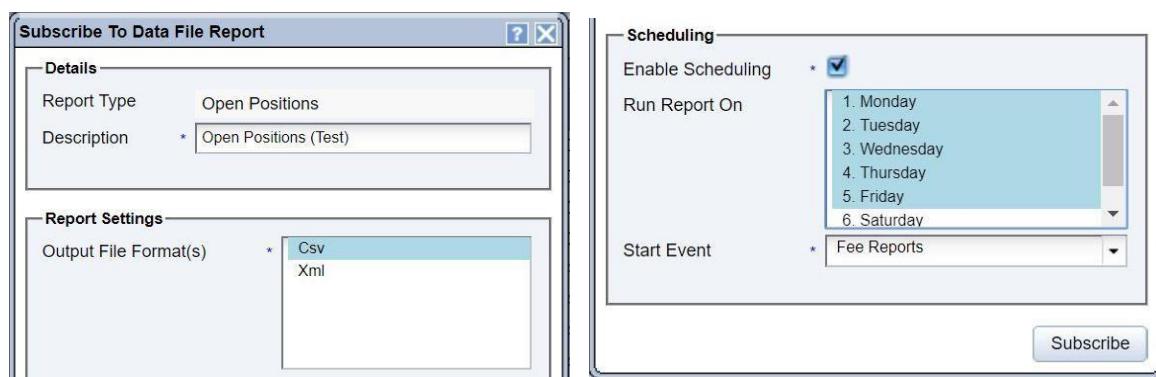
| User Subscriptions | |
|--------------------------------|-------------------------|
| 10-17 (54) | |
| Description | Report |
| Futures Position Report (Test) | Futures Position Report |
| Collateral Fees (Daily) | Collateral Fees (Daily) |

- The generated report will be placed under the *User Subscriptions Tab*.

To Subscribe to a Data File Report



- Under the **Data File Types Tab**, expand the **Member Data Files Tree**, right-click on the **Data File Icon** and click **Subscribe to Data File Report**.



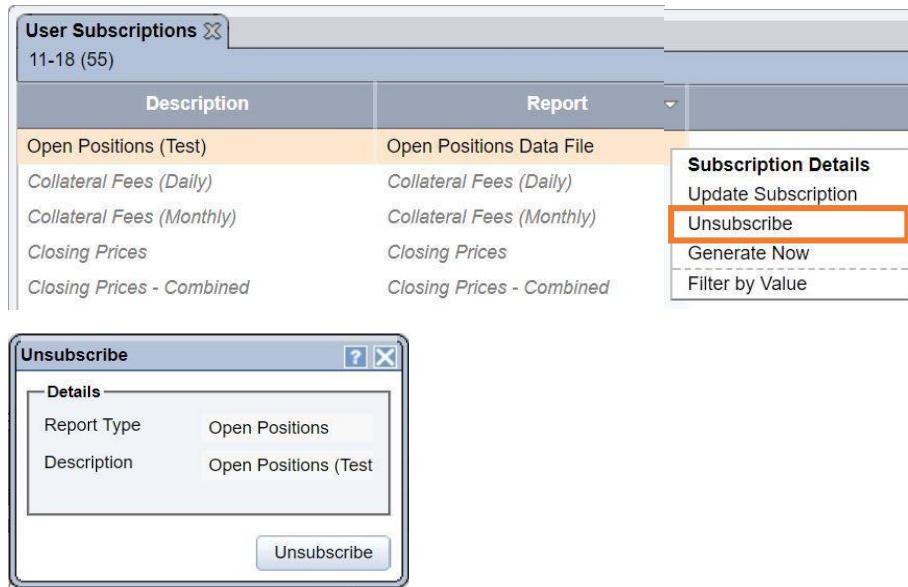
- Select the output file format and scheduling timing, and click **Subscribe**.

| User Subscriptions | |
|-------------------------|--------------------------|
| 11-18 (55) | |
| Description | Report |
| Open Positions (Test) | Open Positions Data File |
| Collateral Fees (Daily) | Collateral Fees (Daily) |

- The report subscription will be placed under **User Subscriptions Tab**.

➤ Subscribed reports will be available in sFTP for download.

To Unsubscribe a Report



The screenshot shows the 'User Subscriptions' tab with 11-18 (55) reports listed. A context menu is open over the row for 'Open Positions (Test)', with the 'Unsubscribe' option highlighted.

User Subscriptions

| Description | Report |
|---------------------------|---------------------------|
| Open Positions (Test) | Open Positions Data File |
| Collateral Fees (Daily) | Collateral Fees (Daily) |
| Collateral Fees (Monthly) | Collateral Fees (Monthly) |
| Closing Prices | Closing Prices |
| Closing Prices - Combined | Closing Prices - Combined |

Subscription Details

- Update Subscription
- Unsubscribe**
- Generate Now
- Filter by Value

Unsubscribe

Details

| | |
|-------------|-----------------------|
| Report Type | Open Positions |
| Description | Open Positions (Test) |

Unsubscribe

- Under the *User Subscriptions Tab*, right-click on the corresponding *Report Row*.
- Select *Unsubscribe* and click *Unsubscribe*.

10.3 Generating and Downloading Reports

To Generate and Download a Report



The screenshot shows the 'User Subscriptions' tab with 10-17 (55) reports listed. A context menu is open over the row for 'Futures Position Report (Test)', with the 'Generate Now' option highlighted.

User Subscriptions

| Description | Report |
|--------------------------------|---------------------------|
| Futures Position Report (Test) | Futures Position Report |
| Open Positions (Test) | Open Positions Data File |
| Collateral Fees (Daily) | Collateral Fees (Daily) |
| Collateral Fees (Monthly) | Collateral Fees (Monthly) |
| Closing Prices | Closing Prices |

Subscription Details

- Update Daily Subscription
- Unsubscribe
- Generate Now**
- Filter by Value

- Under the *User Subscription Tab*, right-click on the corresponding *Report Row* and select *Generate Now*.

Generate Now

— Details —

Report Type: Futures Position Report (Test)

Description: Futures Position Report (Test)

— Settings —

Start Date: [Date Input Field]

Generate Report

- Select a start date and click **Generate Report**. The generated report will be placed under the **Intraday Generations Tab**.

Intraday Generations X Historic Generations

1-7 (202)

| Report Description | Report | Status | Schedule Event | Start Time | Generation |
|--------------------------------|--------------------------|---------|-------------------|---------------------|------------|
| Futures Position Report (Test) | Futures Position Report | success | Close of Business | 19/10/2017 16:27:04 | 1 |
| Open Positions (Test) | Open Positions Data File | success | Fee Reports | 19/10/2017 16:27:04 | 1 |
| Exchange Fees (Daily) | Exchange Fees (Daily) | success | Fee Reports | 19/10/2017 16:27:04 | 1 |

Generation Details

Timing

Start Time: 19/10/2017 16:27:04

Generation time: 11 seconds

Generated Files

| DL | File Name | Size | File Type |
|----|-----------------------------------|---------|-----------|
| | 20171019_162705_APEX_GENCUTPR.csv | 15.3 MB | Csv |

Close

- To download the report, right-click on the corresponding **Generated Report Row**.
- Select **Generate Details** and click on the **Green Arrow Icon**.

➤ Reports will be available for download in sFTP too.

10.4 Updating Reports

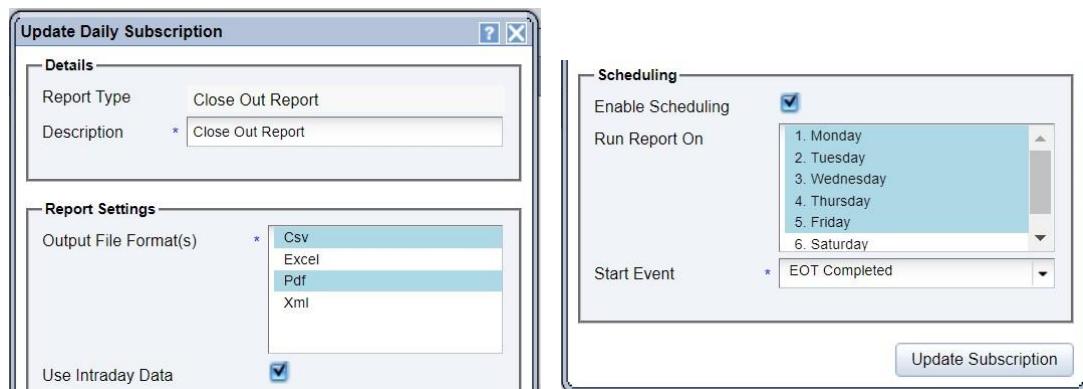
To Update a Report Subscription

User Subscriptions X

1-9 (24)

| Description | Report | Created By | |
|---------------------------|---------------------------|-------------|---------------------------|
| Close Out Report | Close Out Report | A3001_OPS_1 | Subscription Details |
| Close Out Report | Close Out Report | ADMIN | Update Daily Subscription |
| Collateral Fees (Daily) | Collateral Fees (Daily) | ADMIN | Unsubscribe |
| Collateral Fees (Monthly) | Collateral Fees (Monthly) | ADMIN | Generate Now |

- Under the *User Subscription Tab*, right-click on the corresponding *Report Row* and select *Update Daily Subscription*.



- Select the output file format and scheduling timing, and click *Update Subscription*.

| Intraday Generations Historic Generations (5) | | | | | | |
|--|------------------|---------------|----------------|---------------------|-----------------|------------|
| Report Description | Report | Status | Schedule Event | Start Time | Generation Type | For member |
| Close Out Report | Close Out Report | scheduled run | EOT Completed | 04/01/2018 20:00:02 | scheduled run | A3001 |

- The generated report will be placed under the *Intraday Generations Tab*.

11 Secured File Transfer Protocol (SFTP)

The pre-scheduled and subscribed reports and data files can be download from the *Secured File Transfer Protocol (SFTP)*.

Other than the reports and data files mentioned in *Section 10 Reporting Perspective*, Members can download these additional reports in **CSV format**.

1. Daily Fee Report [DAILY_FEE]

This daily report shows the trading and clearing fee (inclusive of GST) for each trade.

2. Financial Summary Report [FINANCIAL_SUMMARY]

This daily report provides the Member with a summary of all pending and settled cash activities and the cash balances for each Member collateral account (includes Customer, Proprietary and Guaranty Fund). Pending cash activities such as EOD margin call will also be reflected in this report.

3. Margin Summary Report [MARGIN_SUMMARY]

This daily report shows the Member's margin requirements per position account.

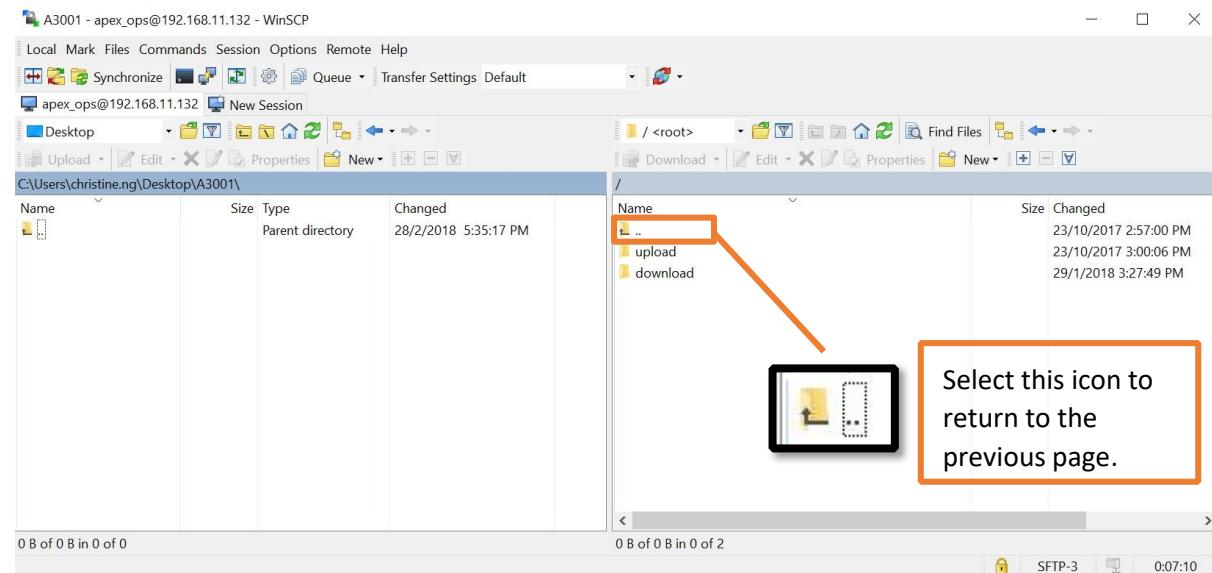
4. Open Position Report [OPEN_POSITION]

This daily report provides the Member with details of each Open Position (including the quantity of each Open Position, respective DSP/FSP and daily profit and loss) per position account.

5. Trade History Report [TRADE_HISTORY]

This daily report contains a full audit trail of a Member's top day trades and includes any post trade activity.

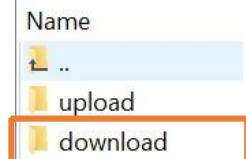
11.1 Introduction



1. Login with the user ID and password as assigned by APEX.
2. The right interface displays the folders available from the APEX Clear System.
3. The left interface displays the folders available on the user's desktop.

11.2 Downloading of Reports

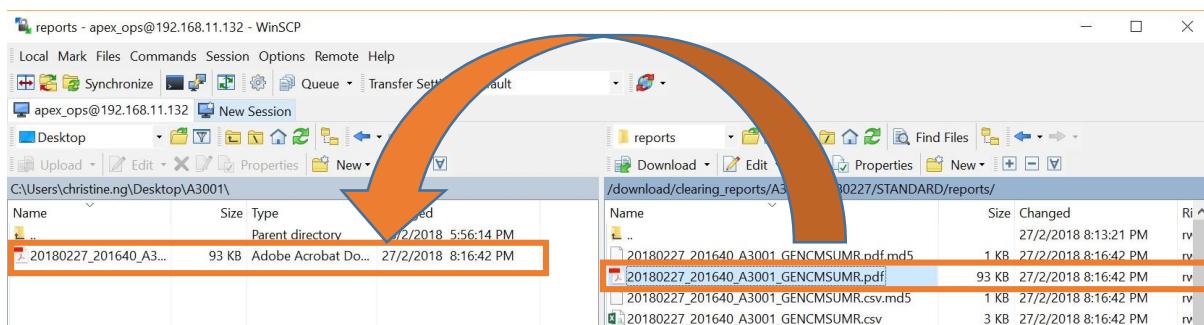
To download reports from sFTP



1. At the right interface, double click on *download* > *clearing_reports* > *[MemberID]*.

| Name | Size | Changed | Rights | Owner |
|----------|------|-----------------------|-----------|-------|
| .. | | 13/2/2018 2:56:38 PM | rwxr-xr-x | 1000 |
| 20180227 | | 27/2/2018 8:12:07 PM | rwxr-xr-x | 1000 |
| 20180226 | | 26/2/2018 7:01:00 PM | rwxr-xr-x | 1000 |
| 20180223 | | 23/2/2018 7:01:01 PM | rwxr-xr-x | 1000 |
| 20180222 | | 22/2/2018 7:15:42 PM | rwxr-xr-x | 1000 |
| 20180221 | | 21/2/2018 10:30:37 AM | rwxr-xr-x | 1000 |
| 20180220 | | 20/2/2018 7:01:00 PM | rwxr-xr-x | 1000 |

2. Select a [report date] > STANDARD > reports/data.



3. To download a report or data file, drag and drop the selected report from the right side to the left side.
4. To read the report or data file, open it in the respective folder which it was downloaded into.

11.3 SPAN Files

To download SPAN files from sFTP

| Name |
|----------|
| .. |
| upload |
| download |

1. At the right interface, double click on *download* > *clearing_span*.

| Name | Size | Changed | Rights | Owner |
|----------|------|-----------------------|-----------|-------|
| .. | | 13/2/2018 2:56:38 PM | rwxr-xr-x | 1000 |
| 20180227 | | 27/2/2018 8:12:07 PM | rwxr-xr-x | 1000 |
| 20180226 | | 26/2/2018 7:01:00 PM | rwxr-xr-x | 1000 |
| 20180223 | | 23/2/2018 7:01:01 PM | rwxr-xr-x | 1000 |
| 20180222 | | 22/2/2018 7:15:42 PM | rwxr-xr-x | 1000 |
| 20180221 | | 21/2/2018 10:30:37 AM | rwxr-xr-x | 1000 |
| 20180220 | | 20/2/2018 7:01:00 PM | rwxr-xr-x | 1000 |

2. Select a [report date] > intraday/eod.



3. To download a SPAN file, drag and drop the selected SPAN from the right side to the left side.
4. To run the SPAN file, upload it into the PC-SPAN program.