

2.1.5 AE Ticket

AE Ticket is one of the three All-in-One Tickets introduced by ETTSS. All-in-one ticket is designed for users who prefer to use multiple functions in one single ticket. So users can perform multiple functions like Stock Quotation, send Bid/Ask order and Modify/Enquire order in the same window. All the functions of all-in-one AE ticket can be completed by 101-keyboards or HKEX customized keyboard.

The major difference between Security Ticket and AE ticket is on the client mapping. Security Ticket and Warrant Ticket can map with selected client, while AE Ticket will not adopt the client account as a default account.

AE ticket has no chart panel, but replaced by an order summary enquiry panel. The panel will show the security shares summary grouped by security code.

Overview of AE Ticket

Client FRANCIS							
1		CHEUNG KONG		CFRANCIS		buy sell	
NOMINAL	↑	133.800	BID			ASK	
NOM. CHG		+0.500	133.600			133.900	
NOM. CHG%		+0.375	(1)	1000			14K (6)
OPEN		134.000	()			8000 (6)	
HIGH		134.100	(4)	9000			1000 (1)
LOW		133.800	(2)	2000			1000 (1)
PRV CLOSE		133.300	(2)	2000			3000 (3)
SHARES TR		107.623K	09:30:39	5000	133.800		
TURNOVER		14.418M	09:30:39	11K	133.900		
NO. OF TR.		19	09:30:39	7000	133.900		
BID		133.600	133.900			ASK	
9053	4977		3456	9431	4979	9066	
-1s	-4s	-8s	-13s	4979	0229	+5s 9057	
	4977		1830	1197	7219	4158 4977	
-2s	1499	-9s	-14s	4159	+2s	0229 +7s	
9064	-5s		1475	4979	4979	9054	
0515	4979	-10s	-15s	6389	+3s	+6s 1499	
4086	1475		9063	+1s	4977	1929 +8s	
1474	-6s	-11s	-16s	9432	+4s	9065 1475	
-3s	4979		6425	3456	8273	9067 +9s	
1473	-7s	-12s	0895	4979	0690	8944 2266	
Sell		Q					

The order summary enquiry of AE ticket

Features of AE Ticket:

Stock Quote– By entering stock code and pressing enter, basic price information and underlying pricing will be displayed on particular information panel.

Order processing – After assigned particular stock on ticket, user will be able to switch to Bid/Ask order panel and place the order with the same ticket.

Order book– After assigned particular stock on ticket, by pressing the Queue button on ticket, the panel will be switched to order book. Modification and cancellation of orders can be performed in this interface.

Sell all shares with shortcut– Pressing the SELL button on ticket, the panel will be switched to Sell order panel with the Sellable Quantity of that stock populated in the Qty field.

Hot Keys

ETTSS supports HKEX keyboard and 101-keyboard, and the function key mapping is shown below:

ETTSS Functions	101-keyboard	HKEX Customized Keyboard
Bid	F1	BUY ORD
Ask	F11	SELL ORD
Security Enquiry	F4	MARKET
Order Enquiry	F6	ORD ENQ
Sell all stocks	F7	SELL TRAN
Confirm	Alt + F3 (place orders)	CONFIRM
Cancel Order	Alt + F2	CANCEL
Modify Order	Alt + F7	MODIFY
Clear	Esc	ABORT

2.1.5.1 Stock Quote

After assigned the stock code to the ticket, corresponding price information will be shown on several panel. Panels provide stock information as shown below:

Insert the Security Code for quotation

Price panel

Bid/Ask Queue

Transaction Log

Broker Queue

NOMINAL		↑ 133.800		BID	ASK
NOM. CHG	+0.500			133.600	133.900
NOM. CHG%	+0.375			(1) 1000	14K (6)
OPEN	134.000				8000 (6)
HIGH	134.100			(4) 9000	1000 (1)
LOW	133.800			(2) 2000	1000 (1)
PRV CLOSE	133.300			(2) 2000	3000 (3)
SHARES TR	107.623K			09:30:39	5000 133.800
TURNOVER	14.418M			09:30:39	11K 133.900
NO. OF TR.	19			09:30:39	7000 133.900
BID		133.600	133.900	ASK	
9053	4977			3456	9431
-1s	-4s	-8s	-13s	4979	0229
	4977		1830	1197	7219
-2s	1499	-9s	-14s	4159	+2s
	-5s			1475	4979
9064				6389	+3s
0515	4979	-10s	-15s	4977	+6s
4086	1475		9063	+1s	4977
1474	-6s	-11s	-16s	9432	+4s
-3s	4979		6425	3456	8273
1473	-7s	-12s	0895	4979	0690
					8944
					2266

User Interface

Price panel – Display corresponding stock price information including nominal, change, change %, open price, highest price, lowest price, previous closed price, number of shares, turnover and no. of trades.

Bid/Ask Queue– Display the best bid price, best ask price and Bid/Ask Queues of 5 spreads on the market

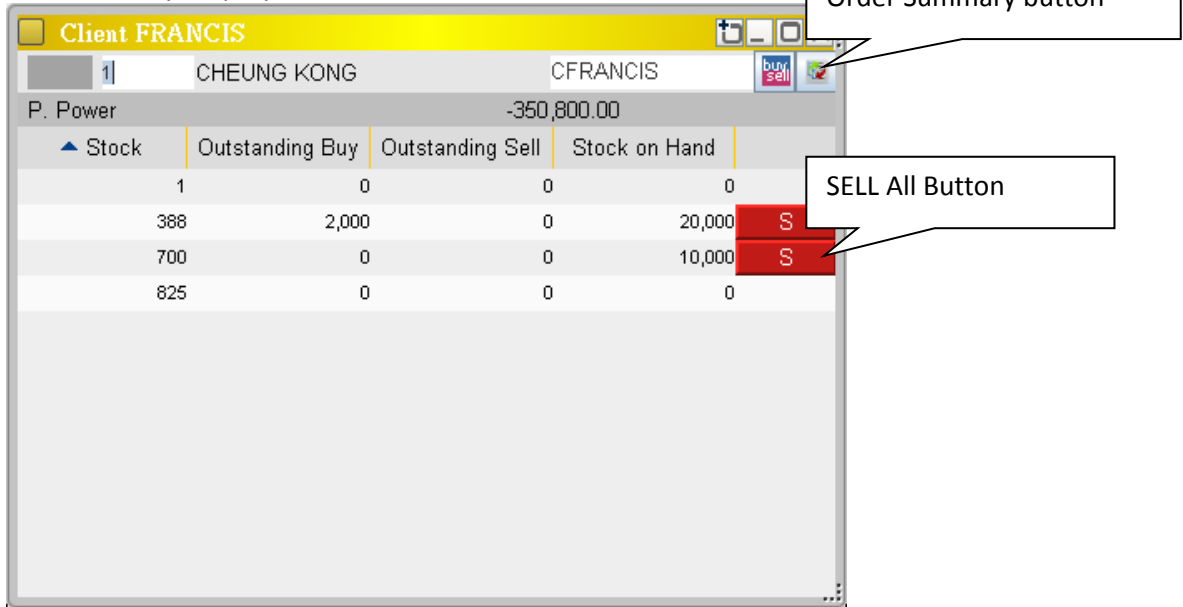
Transaction Log–Show the last 3 tickers of trades.

Broker Queue– Display brokers queues on the market. ETSS all-in-one ticket will highlight the Liquidity Providers for warrants.

The black rectangle frames indicate the Liquidity Providers of the security.

CL 002			
10252 BP-N225@EC1406A		C002	
NOMINAL	↑ 0.095	BID	ASK
NOM. CHG	+0.002	0.094	0.095
NOM. CHG%	+2.150	(1) 3.0M	3.0M (1)
OPEN	0.097	(1) 3.0M	3.0M (1)
HIGH	0.097	(1) 3.0M	3.0M (1)
LOW	0.095	()	()
PRV CLOSE	0.093	()	()
SHARES TR	140.000K	15:56:41	100K 0.095
TURNOVER	13.380K	09:33:52	40K 0.097
NO. OF TR.	2		
BID	0.094	0.095	ASK
9671		9671	
-1s		+1s	
9671		9671	
-2s		+2s	
9671		9671	
Sell		Q	

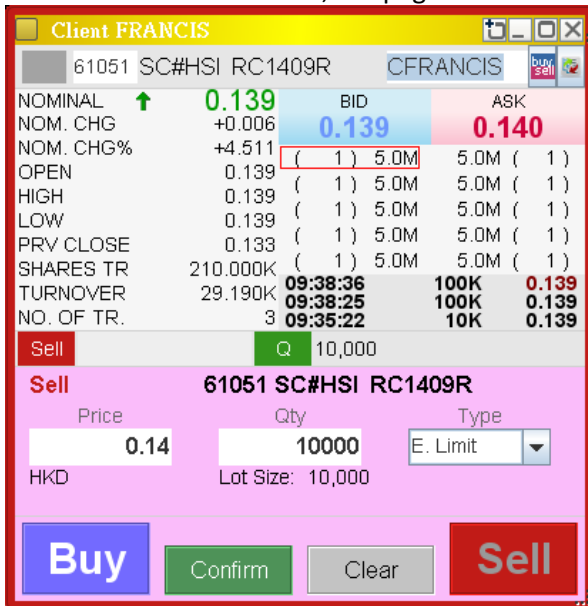
Order Summary Enquiry



When the order summary button is pressed, the AE ticket will switch to order summary page
 The order summary enquiry will show the purchase power of the selected client.

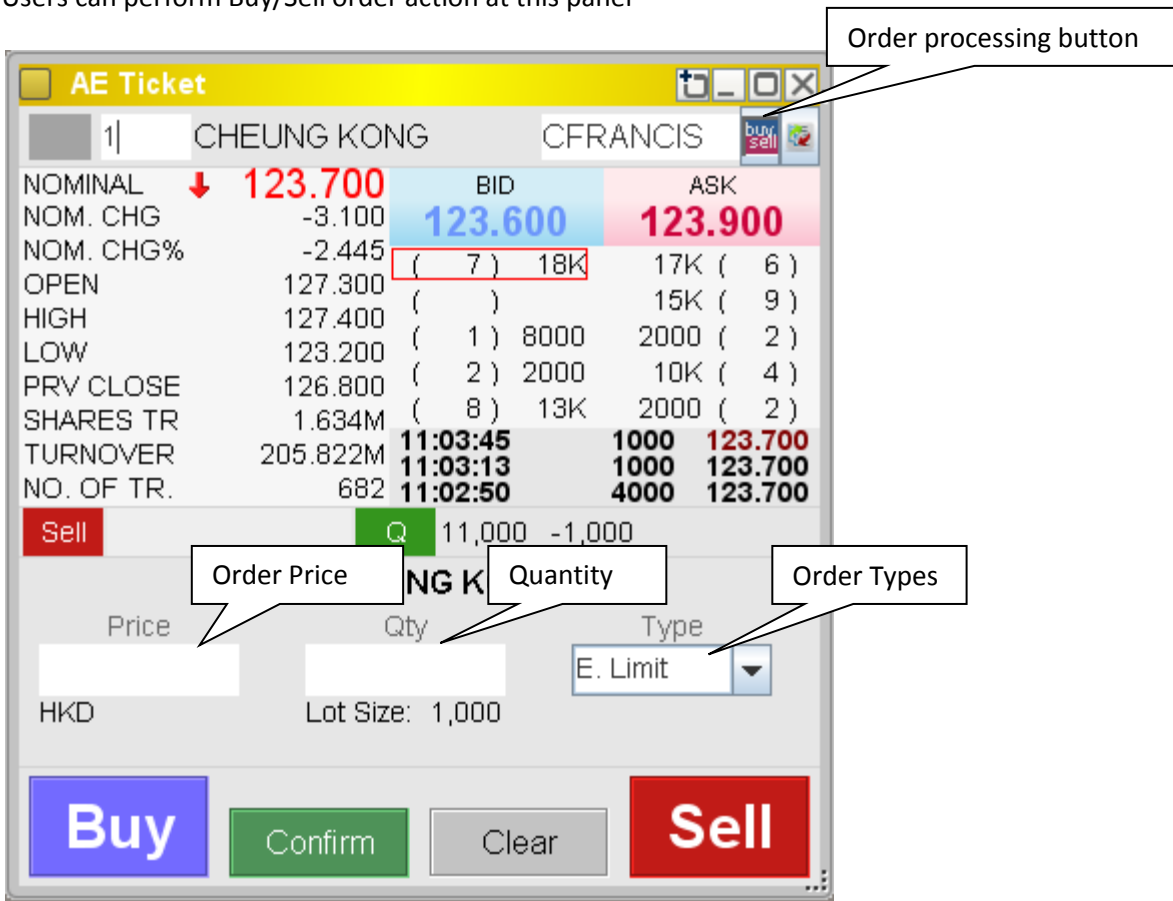
The summary table include security code (CODE), shares bought intra-day (Buy Qty), shares sold intra-day (Sell Qty) and shares available for selling (Sellable).

Pressed the SELL all button, the page switch to Ask Ticket, with all the sellable quantity filled in Qty field.



2.1.5.2 Orders Processing

By clicking the particular price spread on the Bid/Ask queue, the bottom panel will be switched to order panel
Users can perform Buy/Sell order action at this panel



The screenshot shows the 'AE Ticket' window for CHEUNG KONG CFRANCIS. The market data table is as follows:

	NOMINAL	BID	ASK
NOM. CHG	-3.100	123.600	123.900
NOM. CHG%	-2.445	(7) 18K	17K (6)
OPEN	127.300	()	15K (9)
HIGH	127.400	(1) 8000	2000 (2)
LOW	123.200	(2) 2000	10K (4)
PRV CLOSE	126.800	(8) 13K	2000 (2)
SHARES TR	1.634M	11:03:45	1000 123.700
TURNOVER	205.822M	11:03:13	1000 123.700
NO. OF TR.	682	11:02:50	4000 123.700

Below the market data, there is a 'Sell' button and a 'Q' button. The order entry section includes:

- Price: [Input field]
- Qty: [Input field]
- Type: [E. Limit dropdown]
- Lot Size: 1,000

At the bottom, there are four buttons: Buy (blue), Confirm (green), Clear (grey), and Sell (red).

User Interface

Order Price– User can input the price of order in this field

Quantity– User can input the quantity of the order in this field

Order types– Select the order type from combo box, provides Enhanced Limit (default), Auction, Auction Limit, Limit and Special Limit.

Buy Button–Switch to Buy order interface

Confirm Button –To confirm the order and send to AMS queue if the order passes the validation and credit check

Clear–Clear all the values of all fields

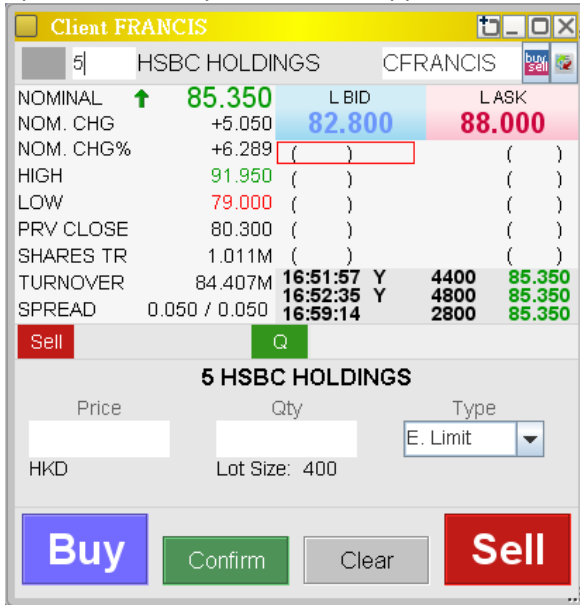
Sell Button–Switch to Sell order interface

Bid/Ask Order User interface

Bid Order

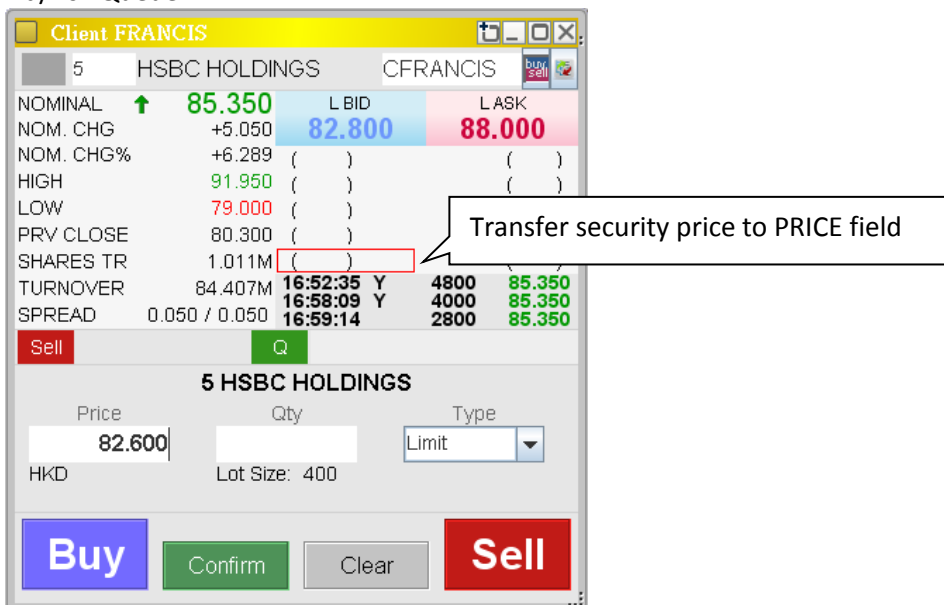
Step 1

Open the Security Ticket and mapped with Client Account



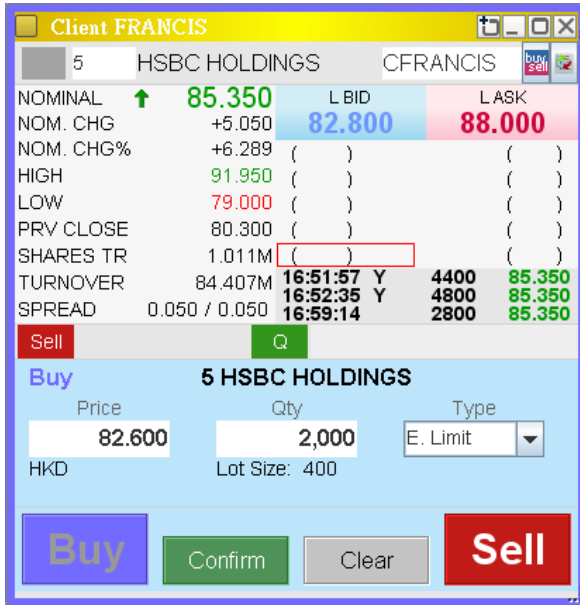
Step2

Use Arrow keys (↑ ↓ ←→) on keyboard, or mouse to move the quotation (Red Frame) for suitable price on Bid/Ask Queue.



Step3

By clicking the “BUY” button, the frame and the panel of the ticket will turned to **blue** representing the user are allowed to place buy order of this ticket. The price will be automatically transferred to the price field with reference to the location of Red Frame. Input Quantity and select order type to proceed.



Client FRANCIS				
5	HSBC HOLDINGS	CFRANCIS	buy	sell
NOMINAL	↑ 85.350	L BID	L ASK	
NOM. CHG	+5.050	82.800	88.000	
NOM. CHG%	+6.289	()	()	
HIGH	91.950	()	()	
LOW	79.000	()	()	
PRV CLOSE	80.300	()	()	
SHARES TR	1.011M	()	()	
TURNOVER	84.407M	16:51:57 Y	4400	85.350
SPREAD	0.050 / 0.050	16:52:35 Y	4800	85.350
		16:59:14	2800	85.350

Sell Q

Buy 5 HSBC HOLDINGS

Price Qty Type

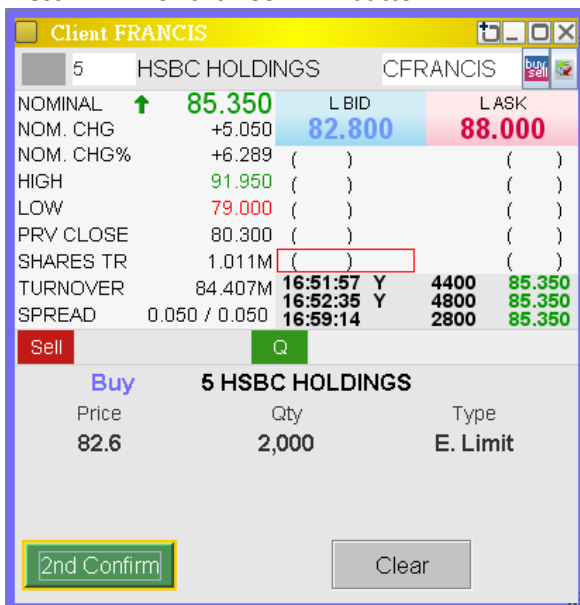
82.600 2,000 E. Limit

HKD Lot Size: 400

Buy Confirm Clear Sell

Step4

Press ENTER or click Confirm button



Client FRANCIS				
5	HSBC HOLDINGS	CFRANCIS	buy	sell
NOMINAL	↑ 85.350	L BID	L ASK	
NOM. CHG	+5.050	82.800	88.000	
NOM. CHG%	+6.289	()	()	
HIGH	91.950	()	()	
LOW	79.000	()	()	
PRV CLOSE	80.300	()	()	
SHARES TR	1.011M	()	()	
TURNOVER	84.407M	16:51:57 Y	4400	85.350
SPREAD	0.050 / 0.050	16:52:35 Y	4800	85.350
		16:59:14	2800	85.350

Sell Q

Buy 5 HSBC HOLDINGS

Price Qty Type

82.6 2,000 E. Limit

2nd Confirm Clear

Step5

Press CONFIRM (Customised Keyboard), SPACE (101-Keyboard) or click “2ndConfirm” button

Client FRANCIS						
5	HSBC HOLDINGS	CFRANCIS				
NOMINAL	↑ 85.350	BID		LASK		
NOM. CHG	+5.050	85.000		88.000		
NOM. CHG%	+6.289	(1) 10K		()		
HIGH	91.950	()		()		
LOW	79.000	()		()		
PRV CLOSE	80.300	()		()		
SHARES TR	1.011M	(1) 2000		()		
TURNOVER	84.407M	16:51:57 Y	4400	85.350		
SPREAD	0.050 / 0.050	16:52:35 Y	4800	85.350		
		16:59:14	2800	85.350		
Sell	0	Q	12,000			
Q (2)	F (0)	CN (0)	Rej (1)			
		Time	B/A	Price	Filled	Qty
CN	MD	20:45*	B	84.800	0	2,000 Q
CN	MD	20:45*	B	85.000	0	10,000 Q

AE Ticket will resume to default setup. The bid order queue in AMS and the status bar on ETSS will be updated with this order information immediately. On the contrary, title bar of AE Ticket turns into **RED** if the order is rejected.

20:46	Q	5	B	HKD 84.800	2000	0
-------	---	---	---	------------	------	---

Ask Order

Step 1

Open the Security Ticket and mapped with Client Account

Client FRANCIS					
HSBC HOLDINGS		CFRANCIS		buy	sell
NOMINAL	↑ 85.350	BID	ASK		
NOM. CHG	+5.050	85.000	86.000		
NOM. CHG%	+6.289	(1) 10K	400 (1)		
HIGH	91.950	()	()		
LOW	79.000	()	()		
PRV CLOSE	80.300	()	()		
SHARES TR	1.011M	(1) 2000	()		
TURNOVER	84.407M	16:51:57 Y	4400	85.350	
SPREAD	0.050 / 0.050	16:52:35 Y	4800	85.350	
		16:59:14	2800	85.350	
BID	85.000	86.000	ASK		
9985		9985			
-1s					
-2s					
-3s					
-4s					
9985					
Sell	-400	Q	12,000	-400	

Step2

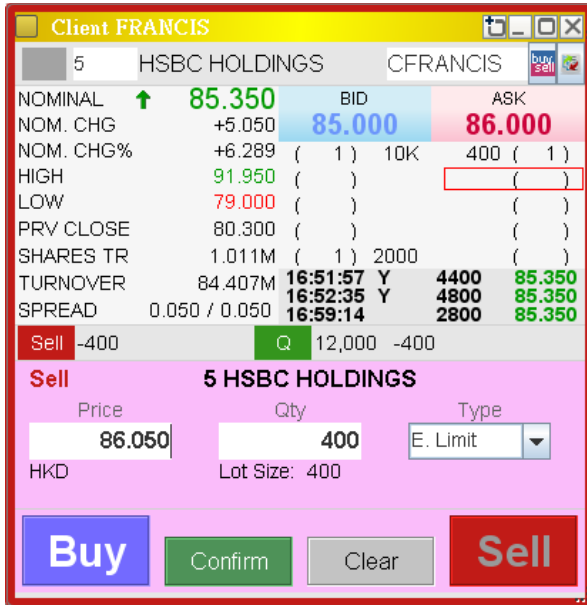
Use Arrow keys (↑ ↓ ←→) on keyboard, or mouse to move the quotation (Red Frame) for suitable price on Bid/Ask Queue.

Client FRANCIS					
HSBC HOLDINGS		CFRANCIS		buy	sell
NOMINAL	↑ 85.350	BID	ASK		
NOM. CHG	+5.050	85.000	86.000		
NOM. CHG%	+6.289	(1) 10K	400 (1)		
HIGH	91.950	()	()		
LOW	79.000	()	()		
PRV CLOSE	80.300	()	()		
SHARES TR	1.011M	(1) 2000	()		
TURNOVER	84.407M	16:51:57 Y	4400	85.350	
SPREAD	0.050 / 0.050	16:52:35 Y	4800	85.350	
		16:59:14	2800	85.350	
BID	85.000	86.000	ASK		
9985		9985			
-1s					
-2s					
-3s					
-4s					
9985					
Sell	-400	Q	12,000	-400	

Transfer security price to PRICE field

Step3

By clicking the“SELL” button, the frame and the panel of the ticket will turn to red representing the user are allowed to place ask order of this ticket. The price will be automatically transferred to the price field with reference to the location of Red Frame. Input Quantity and select order type to proceed.



Client FRANCIS

5 HSBC HOLDINGS CFRANCIS

NOMINAL	↑ 85.350	BID	ASK
NOM. CHG	+5.050	85.000	86.000
NOM. CHG%	+6.289 (1)	10K	400 (1)
HIGH	91.950 ()		()
LOW	79.000 ()		()
PRV CLOSE	80.300 ()		()
SHARES TR	1.011M (1)	2000	()
TURNOVER	84.407M	16:51:57 Y	4400 85.350
		16:52:35 Y	4800 85.350
SPREAD	0.050 / 0.050	16:59:14	2800 85.350

Sell -400 Q 12,000 -400

Sell 5 HSBC HOLDINGS

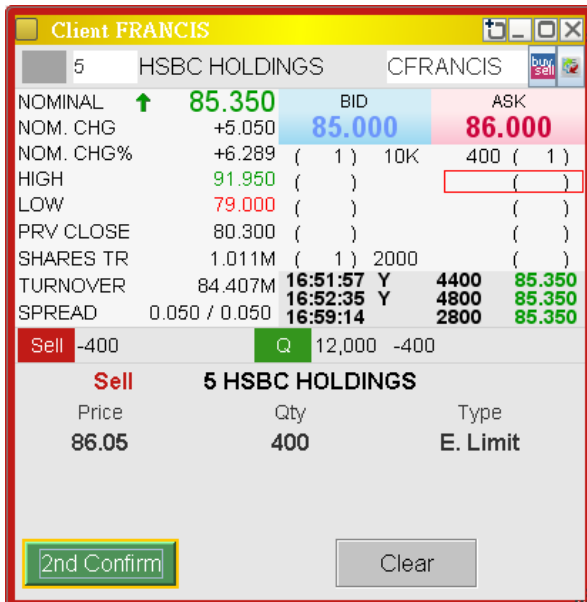
Price: 86.050 Qty: 400 Type: E. Limit

HKD Lot Size: 400

Buy Confirm Clear Sell

Step4

Press ENTER or click Confirm button



Client FRANCIS

5 HSBC HOLDINGS CFRANCIS

NOMINAL	↑ 85.350	BID	ASK
NOM. CHG	+5.050	85.000	86.000
NOM. CHG%	+6.289 (1)	10K	400 (1)
HIGH	91.950 ()		()
LOW	79.000 ()		()
PRV CLOSE	80.300 ()		()
SHARES TR	1.011M (1)	2000	()
TURNOVER	84.407M	16:51:57 Y	4400 85.350
		16:52:35 Y	4800 85.350
SPREAD	0.050 / 0.050	16:59:14	2800 85.350

Sell -400 Q 12,000 -400

Sell 5 HSBC HOLDINGS

Price: 86.05 Qty: 400 Type: E. Limit

2nd Confirm Clear

Step5

Press CONFIRM (Customised Keyboard), SPACE (101-Keyboard) or click “2ndConfirm” button

Time	B/A	Price	Filled	Qty
20:54*	A	86.050	0	400
20:51*	A	86.000	0	400
20:45*	B	84.800	0	2,000
20:45*	B	85.000	0	10,000

AE Ticket will resume to default setup. The ask order queue in AMS and the status bar on ETSS will be updated with this order information immediately. On the contrary, title bar of AE Ticket turns into **RED** if the order is rejected.

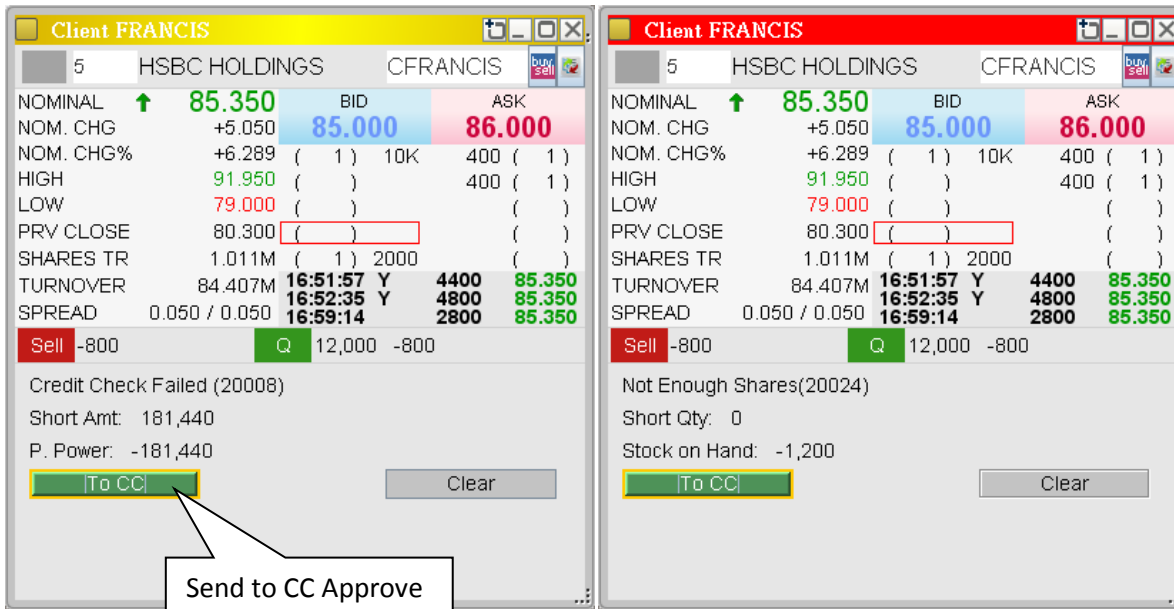
20:54	Q	5	A	HKD 86.050	400	0
-------	---	---	---	------------	-----	---

Validation and Credit Check

AE Tickets will prompt red frame to indicate the invalid input, if the order fails the validation checking.



EP can apply credit checking to clients, ETSS AE Ticket will shows a dialog box including “To CC” for Credit Check Approve, if the order is short in either amount or stock shares. Please refer to CC Approve for details.

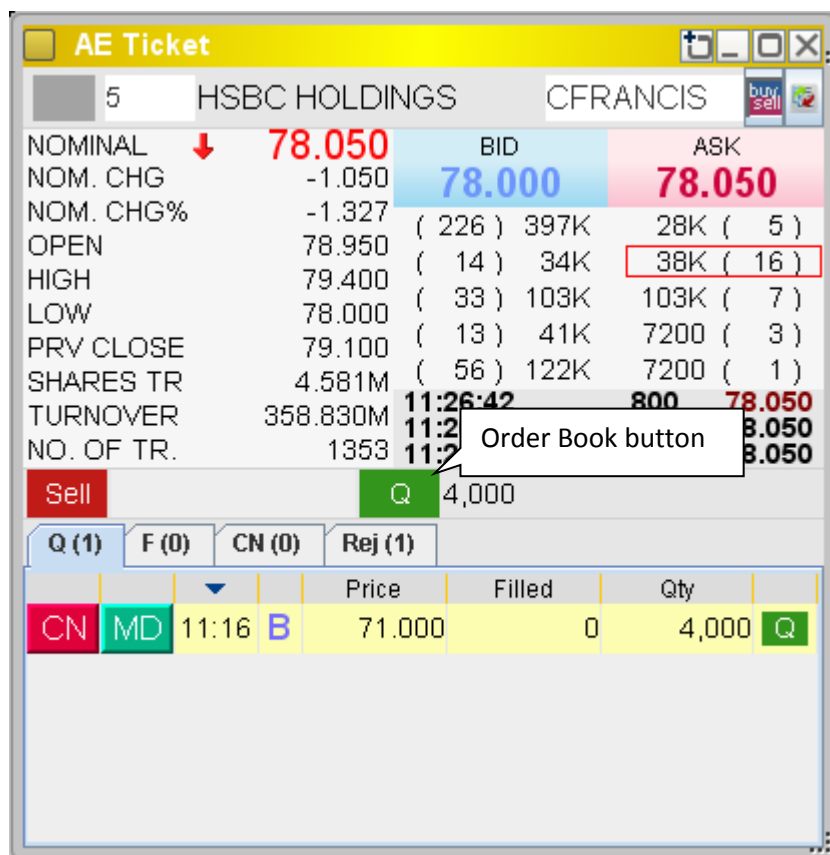


2.1.5.3 Order Book

Seurity Ticket has order book function in the lower panel. User can review the orders placed by selected client. The orders are grouped in different status and placed in Queuing ,Filled ,Canceled and Rejected tabs accordingly. Swiching tabs can be done by clicking the tab. Modification and cancel of orders can be performed in this panel

User can access the order book function in AE Ticket with below steps

- 1) By Pressing the "Q" button with mouse's left clicks,
- 2) Press F6 on 101-keyboard,
- 3) Press ORD ENQ on HKEX's customised keyboard.



The screenshot shows the AE Ticket window for HSBC HOLDINGS. The top section displays market data including NOMINAL (78.050), BID (78.000), and ASK (78.050). Below this, there are tabs for Sell and Q (4,000). The bottom panel shows the Order Book with columns for Price, Filled, and Qty. A callout box points to the 'Q' button with the text 'Order Book button'.

Price	Filled	Qty
71.000	0	4,000

After that, the bottom panel of AE Ticket will switch to order book, showing the queued(Que.), filled or partial filled, cancelled (CN) and rejected (Rej) orders of selected client. Repeat the action of step 1 will resume the ticket to security enquiry.

2.1.5.3.1 Modify Order in AE Ticket

The modify order can be submitted through the order book of AE Ticket.

Customized Keyboard

- Step1: Use Arrow Keys to highlight
- Step2: Press MODIFY
- Step3: Input Data
- Step4: Press CONFIRM

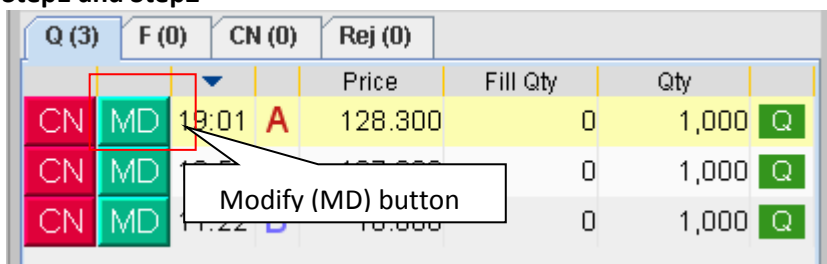
101-Keyboard only

- Step1: Use Arrow Keys to highlight
- Step2: Press ALT+F7
- Step3: Input Data
- Step4: Press ALT+F3

Mouse and 101-Keyboard

- Step1: Use mouse to select
- Step2: Click MD button
- Step3: Input Data
- Step4: Click MD button again

Step1 and Step2



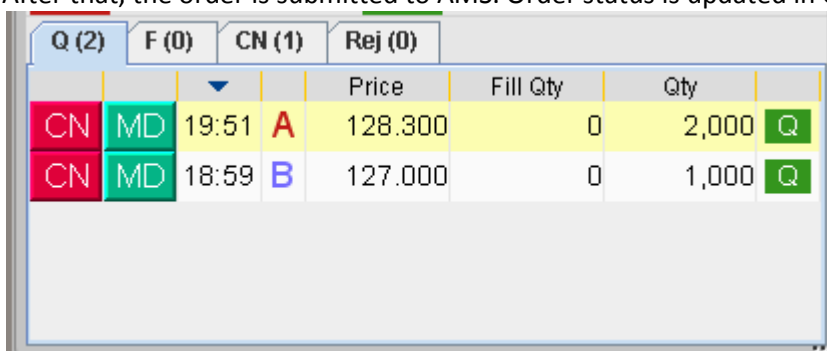
Step3



Order Price– User can adjust the order price in this field

Quantity– User can adjust the order qty in this field

After that, the order is submitted to AMS. Order status is updated in Order book and Status bar.



2.1.5.3.2 Cancel Order in AE Ticket

The cancel order can be submitted through the order book of AE Ticket.

Customized Keyboard

- Step1: Use Arrow Keys to highlight
- Step2: Press CANCEL
- Step3: Press CONFIRM

101-Keyboard only

- Step1: Use Arrow Keys to highlight
- Step2: Press ALT+F2
- Step3: Press ALT+F3

Mouse and 101-Keyboard

- Step1: Use mouse to select
- Step2: Click CN button
- Step3: Click CN button again

Step1 and Step2

Q (3)	F (0)	CN (0)	Rej (0)	Price	Fill Qty	Qty
CN	MD	19:01	A	128.300	0	1,000
CN				107.000	0	1,000
CN				10.000	0	1,000

Step3

Q Sell 1 CHEUNG KONG

Price 128.300 Fill Qty 0 Qty 2,000

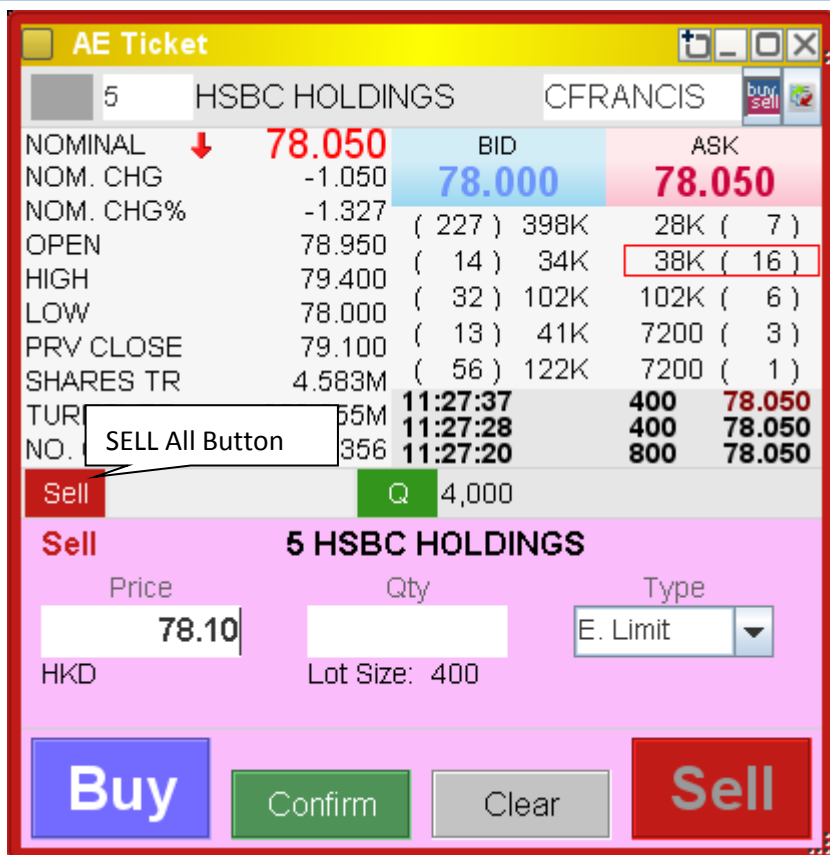
Clear CN

After that, the order is submitted to AMS. Order status is updated in Order book and Status bar.

Q (1)	F (0)	CN (2)	Rej (0)	Price	Fill Qty	Qty
	A			128.300	0	2,000
	B			10.000	0	1,000

18:59	CN	1	A	HKD 128.300	1,000
-------	----	---	---	-------------	-------

2.1.5.4 Sell all shares with shortcut



When pressing the SELL all button, bottom panel will be switched to Sell interface. Order price will be filled with the best sell price and Quantity will be filled with the qty equals all shares in hand. Users are able to sell all shares in hand immediately by pressing “CONFIRM” to send the order to market