

5.9 Trading History Enquiry (Static)

This non-real-time enquiry allows users using supervisor role to enquire on all trading-related operations, including pending requests, orders and trades submitted from user side. The supervisor enters date, security code, price, quantity, broker ID, user ID, start time, market code and client ID to restrict the information displayed. If all is correct, all trading-related operations' history performed by using the specified user ID or broker ID on specific day are displayed. Detail is prompted when user clicks on the operation.

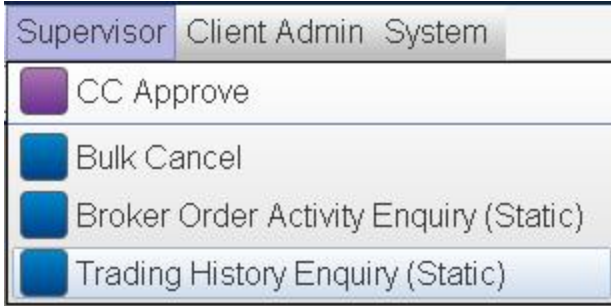
The Broker Order Activity Enquiry (Static) on supervisor role cannot be opened by HKEX's customized keyboard. User has to open the function by using Mouse. The period of Trading History Enquiry (Static) stored on ETSS is limited by value of Order Data Retention in Sys Parameter Maintenance.

Fields for user reference

| Field Name | Type | IN/OUT | Optional / Mandatory | Remarks |
|------------|--------------------|--------|----------------------|---|
| DATE | DDMMYY | IN | Mandatory | Date filter ETTSS displays all trading operations completed on specified date |
| STOCK | Character(5) | IN | Optional | Security Code FILTER Show all orders if it is blank |
| PRICE | Numeric (9999.999) | IN | Optional | Order Price with 3 decimal places, will only show the orders activities that matches the price insert Show all orders if it is blank |
| QTY | Numeric (8) | IN | Optional | Quantity filter, will only show the order activities that matches with the quantity insert Show all orders if it is blank |
| USER ID | Characters(8) | IN | Optional | User ID Filter All the action performed by selected user will be displayed. Show all orders if it is blank |
| PRINT? | Y/N | IN | Mandatory | Print out Y = Print the Trading History with criteria selected N = Enquire only |
| BROKER | Numeric (4) | IN | Optional | Broker ID, will only show the order activities that handled by selected broker Show all orders if it is blank |
| START TIME | Time (HH.MM) | IN | Optional | Time filter with hours and minutes, 24 Hours format The orders before the Time will be hidden from enquiry By default it is 00:00, which will show all orders |
| MKT | Character (4) | IN | Optional | Market filter MAIN = Main Market GEM = GEM Market ETS = Extended Trading Securities NASD = NASDAQ Blank = Show all market |
| CLIENT | Characters(8) | IN | Optional | Client Filter Show all orders if it is blank |

Step1

In the Supervisor menu, click "Broker Order Activity Enquiry (Static)"



Step2

Input Data



Step3
Press ENTER

| Trading History Enquiry (Static) | | | | | | | | | | |
|----------------------------------|------------------------------|--------|-------|------------|---------|--------|--------|----------|---------|--|
| DATE | 080814 | STOCK | PRICE | QTY | PRINT ? | N | USER | | | |
| | | BROKER | 9955 | START TIME | 00:00 | MKT | CLIENT | | | |
| Trading History Enquiry (Static) | | | | | | | | | | |
| Time | Oper. | B/A | Type | Stock... | Price | QTY | TC | Client | User | |
| 20:25 | Input - To Market | B | L | 1 | 10.000 | 10,000 | NA | CFRANCIS | FRANCIS | |
| 20:25 | Input to CC - Pend. CC Appr. | A | L | 2 | 10.000 | 8,000 | NA | CFRANCIS | FRANCIS | |
| 20:25 | Input to CC - CC Appr to MKT | A | L | 2 | 10.000 | 8,000 | NA | CFRANCIS | FRANCIS | |
| 20:25 | Input - To Market | B | L | 700 | 10.000 | 2,000 | NA | CFRANCIS | FRANCIS | |

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Step 4
Click on the record (Description is yet confirmed)

| Trading History Details | |
|-------------------------|------------------------------|
| Date | 2014/07/15 |
| Time | 11:23:49 |
| User | FRANCIS |
| Function | Input to CC - Pend. CC Appr. |
| Description | |
| B/A: | B |
| Stock: | 2 CLP HOLDINGS |
| Price: | 10.000 |
| Qty: | 1,000 |
| Client: | CFRANCIS |
| AON: | N |
| TC: | NA |
| Broker: | 9955 |
| Reference: | |
| Order ID: | 2014071501000009 |
| Request Status: | CCApp |

Remarks: Operation generated from Trading History Enquiry (static)

| Operation - Request | Description |
|-------------------------|--|
| Input | Input new order |
| Input re-enter(C) | Consideration Warning re-enter during new order |
| Input re-enter(P) | Price Warning re-enter during new order |
| Modify | Modify order |
| Mod. re-enter(C) | Consideration Warning re-enter during modify order |
| Mod. re-enter(P) | Price Warning re-enter during modify order |
| Cancel | Cancel order |
| Input to CC | Input new order with Credit Check required |
| Input re-enter(C)to CC | Consideration Warning re-enter during new order with Credit Check required |
| Input re-enter(P)to CC | Price Warning re-enter during new order with Credit Check required |
| Modify to CC | Modify order with Credit Check required |
| Mod. re-enter(C)to CC | Consideration Warning re-enter during modify order with Credit Check required |
| Mod. re-enter(P)to CC | Price Warning re-enter during modify order with Credit Check required |
| Broker Bulk Cancel | Issue Broker Bulk Cancel & trigger a trader bulk cancel activity to clear the requests |
| Trader Bulk Cancel - XX | Issue Trader Bulk Cancel with XX cancel orders submitted |

| Operation - Status | Description |
|------------------------|---|
| Pending Trading Status | Pending for available trading session |
| Order Expired | Order expired (eg. Auction Order not match) |
| To Market | Order is sent to market |
| CC Approved To MKT | Order is approved by Credit Check |
| CC Rejected | Order is rejected by Credit Check |
| Pend. CC Appr. | Order is pending for Credit Check Approval |
| Market Accept | Order send to market |
| Market Reject | Order reject by market |
| OrderCXL | Order is cancelled |
| OrderCXL - CTD Single | Cross Trading Device cancel order |
| OrderCXL - CTD Bulk | Cross Trading Device bulk cancel order |
| OrderCXL - COD | Order cancel on demand |
| OrderCXL - Broker Sus. | Order cancelled because of broker suspension |
| OrderCXL - Firm Sus. | Order cancelled because firm suspension |
| OrderCXL - Exchange | Order cancelled by HKEX administrator |
| OrderCXL - Unsolicited | Unsolicited order cancel (eg. Amend Reject because of invalid price) |
| OrderCXL - Bulk | Order cancelled by bulk cancel order |

Remarks: Field Details on Trading History Enquiry (static)

| Field Name | Description |
|------------|-------------|
| DATE | YYYY/MM/DD |
| TIME | HH:MM:SS |
| USER | User ID |
| Operation | TEXT |

Fields for all Order operation, pending Requests and Credit Control Approval.

| Field Name | Description |
|----------------------|---|
| STOCK (& Stock Name) | Stock Code and Stock short name |
| MKT | MKT, GEM, ETS and NASD |
| B/A | Bid, Ask, or blank (All) |
| CURRENCY | Currency Code |
| PRICE | Stock price |
| QTY | Stock Quantity |
| BROKER | Broker Number |
| TYPE | Trade Type (A, E, I, L, S) |
| AON | All-or-nothing Indicator |
| TC | Short Sell indicator(Y, N, C, M, A) and Trade Class (A, P, blank) |
| REFERENCE | Reference field |
| CLIENT | Client ID |
| ORDER ID | Order ID for ETTSS usage |
| REQUEST STATUS | Request status for ETTSS usage (Wait, Processing) |

Fields for Manual Trade, Direct Trade and Overseas Trades

| Field Name | Description |
|---------------------------------|---|
| STOCK (& Stock Name) | Stock Code and Stock short name |
| MKT | MKT, GEM, ETS and NASD |
| B/A | Bid, Ask, or blank (All) |
| CURRENCY | Currency Code |
| PRICE | Stock price |
| QTY | Stock Quantity |
| BROKER | Broker Number |
| CORR BROKER | Corresponding Broker Number |
| DIRECT | Direct Trade Indicator (Y, N) |
| SETTLE TYPE | Settlement Type Indicator (I, B, blank) |
| TRADE IND | Trade Indicator for ETTSS |
| TC | Short Sell indicator(Y, N, C, M, A) and Trade Class (A, P, blank) |
| REFERENCE | Reference field |
| CLIENT | Client ID |
| TRADE ID | Trade Indicator for ETTSS usage |
| REQUEST STATUS | Request status for ETTSS usage (Wait, Processing) |

Fields for Trader Bulk Cancel, Broker Bulk Cancel and Cross Trading Device Bulk Cancel

| Field Name | Description |
|---------------------------------|---|
| STOCK (& Stock Name) | Stock Code and Stock short name |
| MKT | MKT, GEM, ETS and NASD |
| B/A | Bid, Ask, or blank (All) |
| BROKER | Broker Number |
| CORR Broker ID | Corresponding Broker Number |
| USER | User ID |
| ALL STOCK | ALL Stock Indicator (Y, N) |
| CLIENT | Client ID |
| REQUEST STATUS | Request status for ETTSS usage (Wait, Processing) |