

341 Stock DEPOSIT / WITHDRAWAL ENTRY

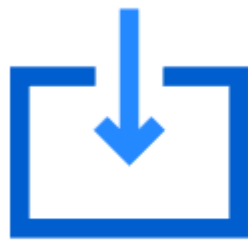
type 'D/W' in OTCR type

```
----- POP SECURITIES DEMO SYSTEMS -----
12/12/2022  GLOBAL STOCK BROKER SYSTEM (Version 3.0e+) SZ  13:37:36 On
(Windows 細明體) (341) STOCK DEPOSIT / WITHDRAWAL ENTRY (Q)  Share

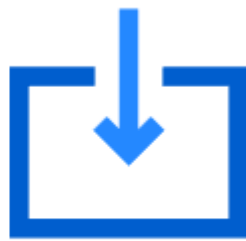
FILTER ON
SEQUENCE NO :      1
Input by:-  TRAN TYPE (D/W) : D      (1=D / 3=W)      +---Quantity on Hand---
                                           |Prev.Day:      23,500
                                           | Latest:      23,900
                                           +-----+
Client Name : KELVINL
STOCK CODE : TENCENT      (#700 )
              TENCENT HOLDINGS LTD.
              QUANTITY :      400      ISSUE (DBWRS) :
              STOCK LOCATION :      STOCK VALUE :
REMARKS : DEPOSIT 400 TENCENT (700)
ALLOCATION :      OTCR TYPE (D/W) : D

Create Amend Delete Undel Search Filter Previous Next Top List Exit
Query
```

After day end, open gsbhkidr -> click Export OTCR Report



**Export OTCR Report
File(D/W)**



**Export OTCR Report
File(D/W) in History**

1) After SB dayend, go to HKidr , export OTCR Reporting file

Export OTCR Reporting File (D/W only) Trans date: 27-07-2023

Select Submission Date

No. of submission

Text Format

no of submission - set 1 to start , when second to export , it can change to to no.

For next day, go to Export OTCR Report File in History

Current Path: c:\sb\popsb

Export OTCR Reporting File (D/W only) in History (Selected Trans date: 2023-07-27)

Select Trans Date
07/27/2023

Select Submission Date
07/28/2023

No. of submission
1

Text Format

OK

Save as OTCR reportfile

檔案名稱(N): OTCRRPT_ABC123_20230703_7.txt

存檔類型(T): Text Document (*.txt)

隱藏資料夾

存檔(S) 取消



OTC Securities Transactions Reporting

Relevant Regulated Intermediaries subject to the OTCR can test submissions via this platform to get ready for the launch on 25 September 2023.

[Online Testing](#)

Validate OTCR ->

<https://wings.sfc.hk/otcr/#/en/validate>

Over-the-counter Securities Transactions Reporting Regime (OTCR)

Under the OTCR, a Relevant Regulated Intermediary ("RRI") would be required to report to the SFC when an RRI, whether as principal or agent, makes a transfer of shares in connection with an OTC Securities Transaction, or deposits or withdraws a physical share certificate. For details of the OTCR regime, please refer to the SFC dedicated webpage (<https://www.sfc.hk/en/Rules-and-standards/Investor-identification-and-OTC-Securities-Transactions-Reporting>).

If your firm is an RRI subject to the OTCR, your firm is expected to test your submissions via this production-like platform so as to get ready to report under the OTCR when it is launched. This platform will remain open to receive test submissions until 18 Sept 2023.

[Validate OTCR Reporting File](#)

[Apply for / Maintain OTCR SFTP Service](#)

[Proceed to OTCR WebApp Submission](#)

) > sb > popsb > out >

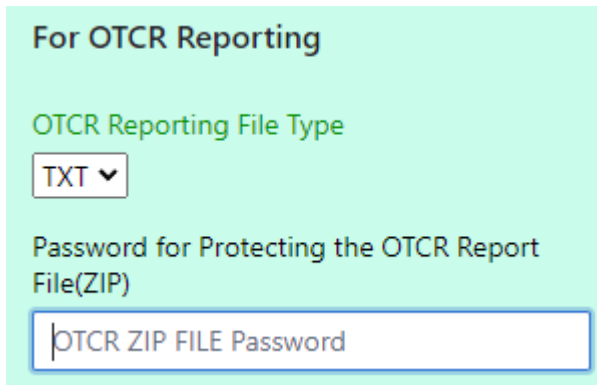
名稱	修改日
OTCRRPT_ABC123_20230703_1.txt	2023/

Validate OTCR Reporting File Only

Through this utility, you may upload OTCR Reporting File to verify the file type and data format are following the requirements as prescribed in the OTCR Technical Information Paper. Please note that this is not a formal submission under OTCR through this utility. If you wish to make a

Appendix-A Change OTCR Export format - TXT / Zip

a . For export OTCR Reporting file in text format.



For OTCR Reporting

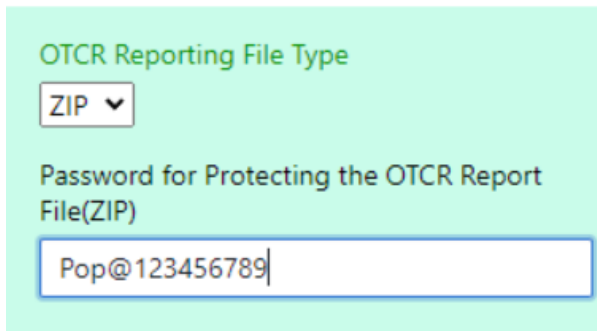
OTCR Reporting File Type

TXT ▼

Password for Protecting the OTCR Report File(ZIP)

OTCR ZIP FILE Password

b. For export OTCR Reporting file in Zip format.



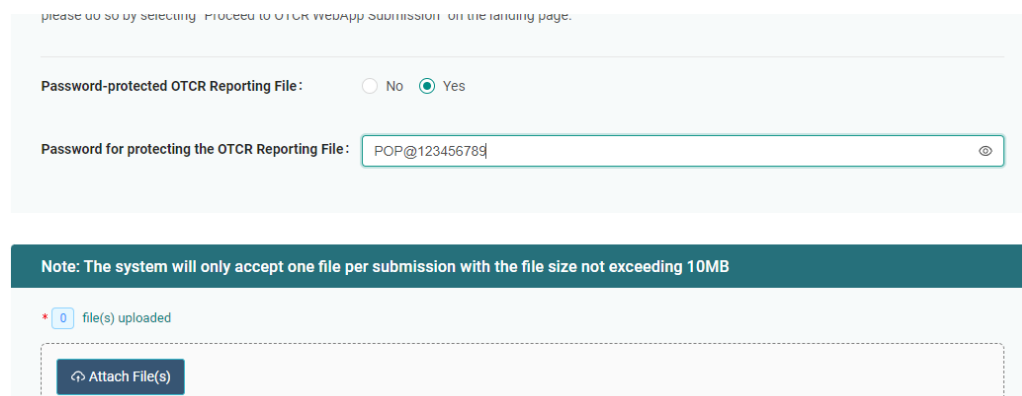
OTCR Reporting File Type

ZIP ▼

Password for Protecting the OTCR Report File(ZIP)

Pop@123456789

if use password in zip files , it need type password in web site manually.



please do so by selecting "Proceed to OTCR WebApp Submission" on the following page.

Password-protected OTCR Reporting File: No Yes

Password for protecting the OTCR Reporting File: POP@123456789

Note: The system will only accept one file per submission with the file size not exceeding 10MB

0 file(s) uploaded

Attach File(s)

OTCR template

sfc.hk/-/media/en/files/enf/otcr/OTCR_template_to_txt.xlsx.

Password-protected OTCR Reporting File: No Yes

Password for protecting the OTCR Reporting File:

Note: The system will only accept one file per submission with the file size not exceeding 10MB

* 0 file(s) uploaded

Attach File(s)

Drag and drop file(s) here

¹ Click the x button to remove an attachment

² Click the ► button to retry

Note: Please ensure that you are using the latest template to file your information.

```
----- POP SECURITIES DEMO SYSTEMS -----
27/07/2023  GLOBAL STOCK BROKER SYSTEM (Version 3.0e+) SZ  14:22:09 On
(Windows 細明體) (341) STOCK DEPOSIT / WITHDRAWAL ENTRY (Q)  Share

FILTER ON
SEQUENCE NO :      1
Input by:-  TRAN TYPE (D/W) : [D]  (1=D / 3=W)
          CLIENT CODE : [A28 ]
          Client Name : KELVINL
          STOCK CODE : [HSBC HOLDINGS ] (#5 )
                   HSBC HOLDINGS PLC
          QUANTITY : [ 400 ]
          STOCK LOCATION : [ ]
          REMARKS : [DEPOSIT 400 HSBC HOLDINGS (5) ]
          ALLOCATION : [ ]
          ISSUE (DBWRSC) : [ ]
          STOCK VALUE : [ ]
          OTCR TYPE (D/W) : [D ]

+---Quantity on Hand---
|Prev.Day: 39,893,200
|Latest: 39,893,600
+---

For OTCR used in physical stock

Create  Amend  Delete  Undel  Search  Filter  Previous  Next  Top  List  Exit
```

Appendix - Error of export OTCR txt file

Export OTCR Reporting File (D/W only) Trans date: 27-07-2023

Select Submission Date

07/27/2023

No. of submission

1

Text Format

OK

[View Log](#)

ERROR found, Please check at the above link !!

hkidr found someone is , not consent.

- check log

```

5:46:17 [Info] Export OTCR Report Starting
15:46:17 [Info] No Of Submission OTCR at 20230920 #1
15:46:17 [Info] Transaction ID:20230727WD070012,check export A/C A19 , Acc Holder No:[1 ], OTCR TYPE:[withdrawal], Bcan No. [9375212 ]
is ok, Full Name:[FRANCIS Fu ]
15:46:17 [Info] Transaction ID:20230727WD070012,check export A/C A19 , Acc Holder No:[2 ], OTCR TYPE:[withdrawal], Bcan No. [9375212 ]
is ok, Full Name:[wife ]
15:46:17 [Info] Transaction ID:20230727WD070011,check export A/C A1919 ,Acc Holder No:[1 ], OTCR TYPE:[withdrawal], Bcan No. [80484 ]
is not ok, Full Name:[*NCP*], CONSENT:No,Client Type no select,Id Type no select
15:46:17 [Info] Transaction ID:20230727DP070016,check export A/C A1919 ,Acc Holder No:[1 ], OTCR TYPE:[Deposit ], Bcan No. [80484 ] is
not ok, Full Name:[ ], CONSENT:No,Client Type no select,Id Type no select,cannot deposit stock without consent->YES
15:46:17 [Info] Transaction ID:20230727DP070015,check export A/C A28 , Acc Holder No:[1 ], OTCR TYPE:[Deposit ], Bcan No. [872 ] is ok,
Full Name:[LING LING CHAN 陳令令]
15:46:17 [Info] Transaction ID:20230727DP070015,check export A/C A28 , Acc Holder No:[2 ], OTCR TYPE:[Deposit ], Bcan No. [872 ] is ok,
Full Name:[AMY LEE 李阿美]
15:46:17 [Info] Transaction ID:20230727DP070015,check export A/C A28 , Acc Holder No:[3 ], OTCR TYPE:[Deposit ], Bcan No. [872 ] is ok,
Full Name:[HAHA LAM 林哈哈]
15:46:17 [Info] Export Result: 5 record(s) Exported , 2 record(s) Error(s).
15:46:17 [Info] Export OTCR Report File not Completed.(error is found)
    
```

In the sb ,check in sb main menu 342 deposit and withdrawal audit trail

SBO NO	TYPE	CLIENT CODE & NAME	STOCK	QTY DEPOSIT	QTY WITHDRAW	DESCRIPTION	ALLOC	ACTION	INPUT BY	STOCK LOCATION	OTCR TYPE
1	Dp	A28 KELVINL	5 HSBC HOLDINGS	400		DEPOSIT 400 HSBC HOLDINGS (5)	A	Q			D
2	Wd	A19 FRANCIS Fu	939 CCB		1,000	WITHDRAW 1,000 CCB (939)	C	Q			W
3	Dp	A1919 Francis A1919 Client NOT SIGN Consent	388 HKEK	4,000		DEPOSIT 4,000 HKEK (388)	C	Q			D
4	Wd	A1919 Francis A1919	1 CKH HOLDINGS	*STOCK OD*	4,000	WITHDRAW 4,000 CKH HOLDINGS (1)	C	Q			W
DEPOSIT TOTAL :		2	393	4,400							
WITHDRAW TOTAL:		2	940		5,000						
			(HASH TOTAL)								

For OTCR, Deposit stock is need sign consent

Main Menu 342 - print audit trail to check type OTCR "D" or "W" or not.

** END OF REPORT **

check A1919 in hkidr master,

HKIDR Master

Search for

Account

List [Detail](#)

Page < 1 >

Account	Holder No	Status	Client Type	Name / Chinese Name	HK Bcan no	CN Bcan no	ID Type	ID	HKConsent
A1919	1	ACTIVE		Francis A1919	80484	80484			N
A191919	1	ACTIVE		Francis Testing	625225115	625225115			N