

Sun International Securities Online Trading Platform

User Manual

By

Sun International Securities Limited

Last update: 12 July 2017

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1 Introduction

This User Guide provides a step-by-step instruction on how to use Sun International Securities Online Trading Platform (OTP). The objective of designing OTP is to assist users to run their trading businesses in a more effective and efficient way with the following user-friendly Graphics User Interface (GUI) functional modules:

- Login
- Buy/ Sell Order
- Update Order
- Cancel Order
- Portfolio Enquiry
- Real Time Stock Quote
- Account Management
- Logout

This user guide consists of following chapters:

Chapter	Description
1	Introduction
	Introduction to Sun International Securities Online Trading Platform (OTP)
2	About Sun International Securities Online Trading Platform (OTP)
	To provides details information on internet trading. The system overview and system standards are explained in this chapter
3	Getting Started
	Login/ logout web trading page.
4	Order Processing & Account Management
	To use the functions to input/update/cancel/enquire orders and show client account information
5	e-IPO
6	Report
7	Q & A

2 About Sun International Online Trading Platform (OTP)

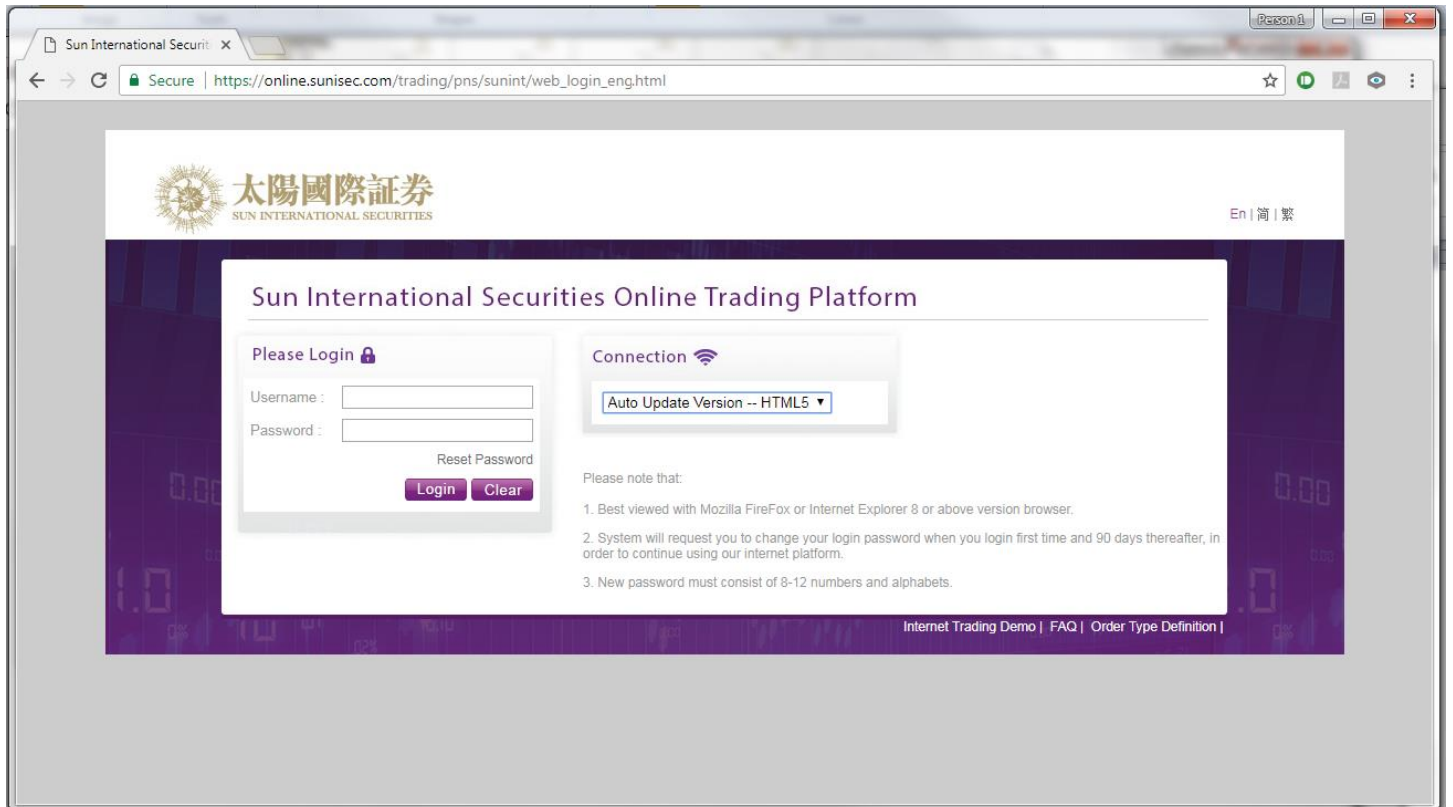
Sun International Securities Online Trading Platform (OTP) is a securities trading system with comprehensive front-office functionality which can facilitate efficient and effective workflow in the entire trading logistic.

3 Getting Started

3.1 Login

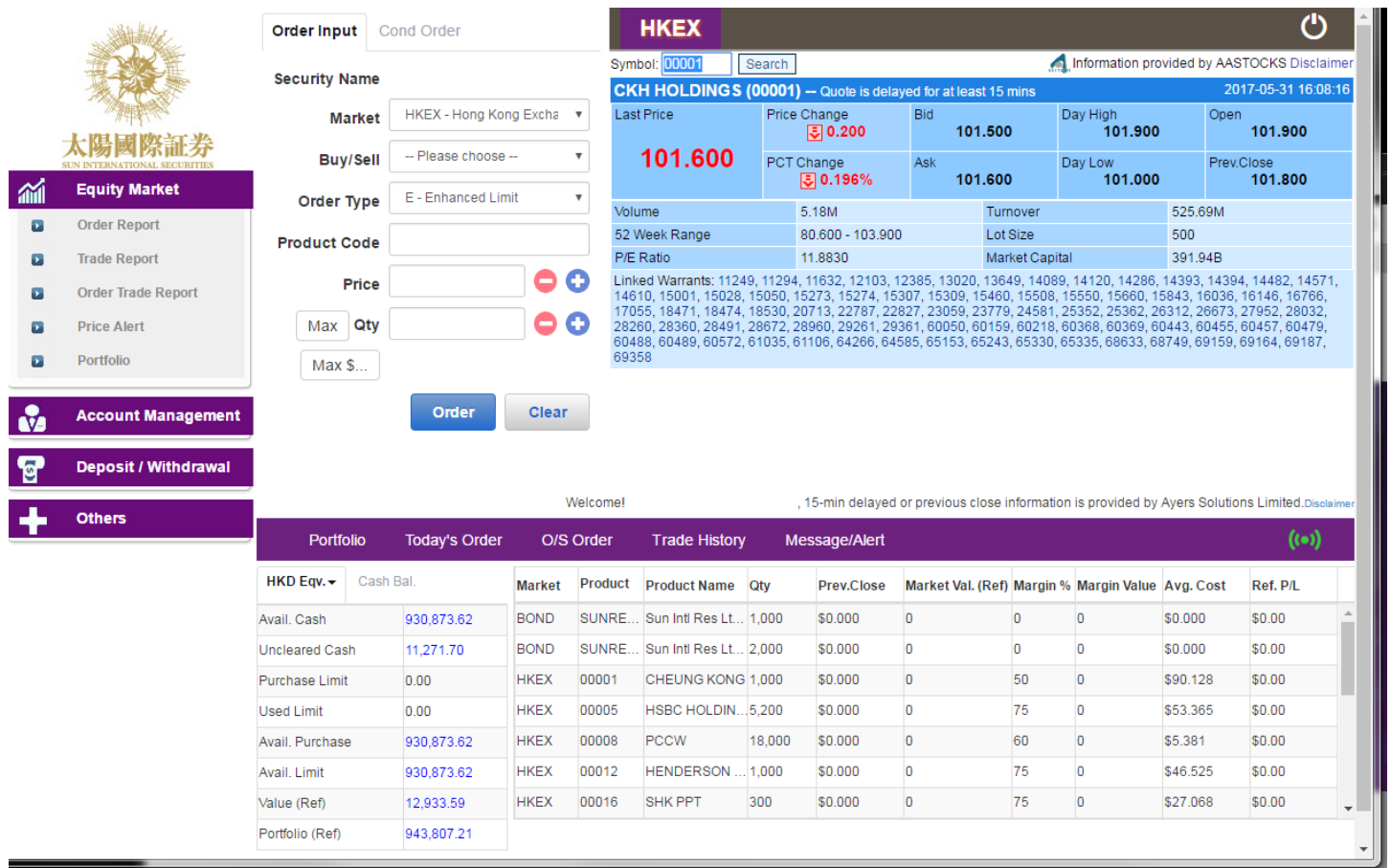
Follow these instructions to log into web trading:

- Switch on the computer
- Open Internet Explorer
- Input the URL provided
- Select “Auto Update Version – HTML5” in connection setting



- Enter User ID & Password and click Login.

f) After Login, the main window will display.



The screenshot shows the Sun International Securities web trading interface. On the left is a vertical menu with options like 'Equity Market', 'Account Management', and 'Deposit / Withdrawal'. The top right features a quote for CKH HOLDINGS (00001) with details like Last Price (101.600), Price Change (-0.200), and Bid (101.500). The bottom section displays a table of orders and portfolio information.

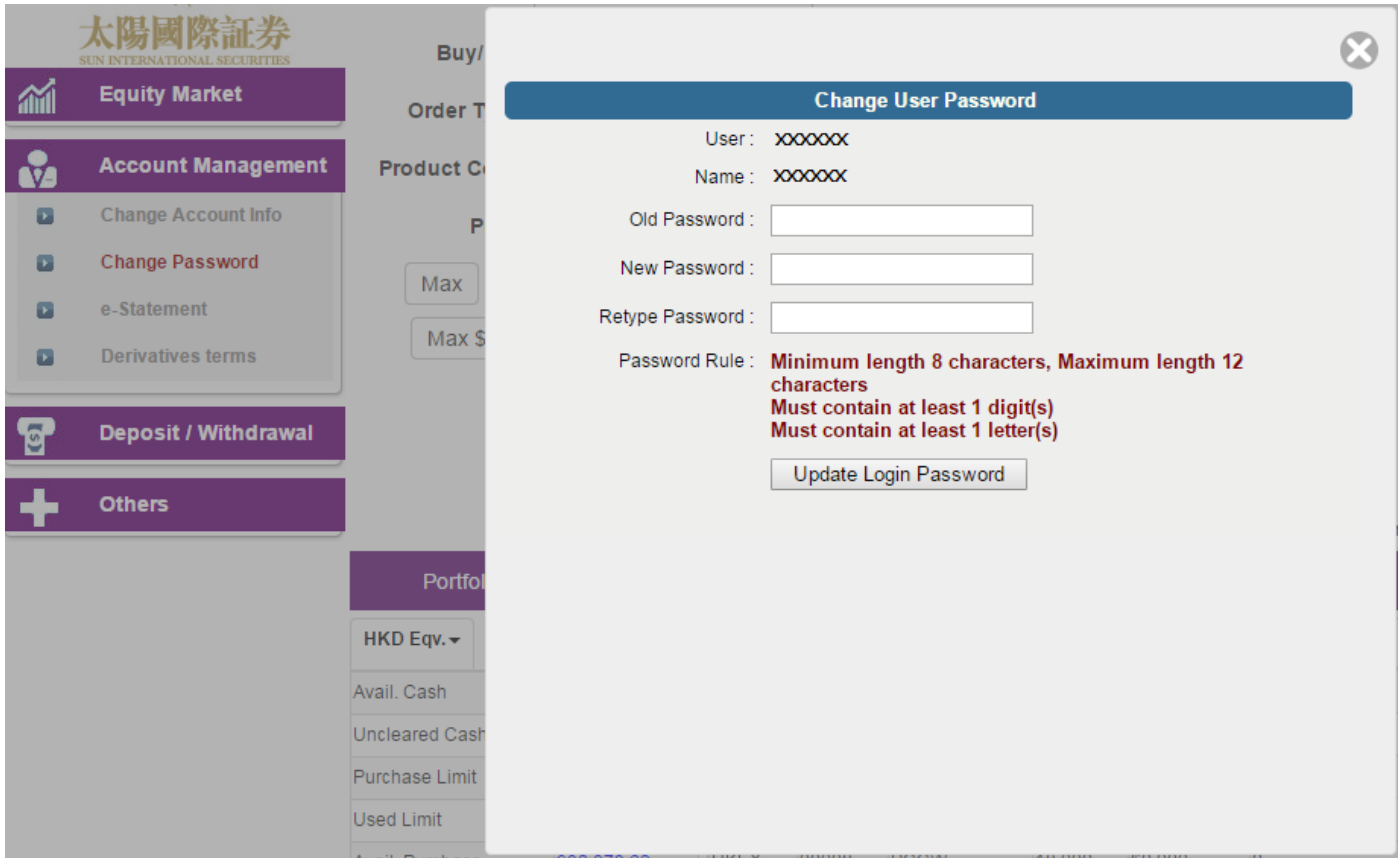
Market	Product	Product Name	Qty	Prev.Close	Market Val. (Ref)	Margin %	Margin Value	Avg. Cost	Ref. P/L
BOND	SUNRE...	Sun Intl Res Lt...	1,000	\$0.000	0	0	0	\$0.000	\$0.00
BOND	SUNRE...	Sun Intl Res Lt...	2,000	\$0.000	0	0	0	\$0.000	\$0.00
HKEX	00001	CHEUNG KONG	1,000	\$0.000	0	50	0	\$90.128	\$0.00
HKEX	00005	HSBC HOLDIN...	5,200	\$0.000	0	75	0	\$53.365	\$0.00
HKEX	00008	PCCW	18,000	\$0.000	0	60	0	\$5.381	\$0.00
HKEX	00012	HENDERSON ...	1,000	\$0.000	0	75	0	\$46.525	\$0.00
HKEX	00016	SHK PPT	300	\$0.000	0	75	0	\$27.068	\$0.00

g) The web trading page is divided into 3 regions:

- Menu Region – Top Left (place order, account information, run report, etc)
- Real Time Price Quote Region – Top Right (real time price quote)
- Order Journal Region – Bottom (portfolio, update/cancel/enquire order, messages/alerts)

3.2 Change Password

To change the password, open “Account Management” and then click “Change Password”.

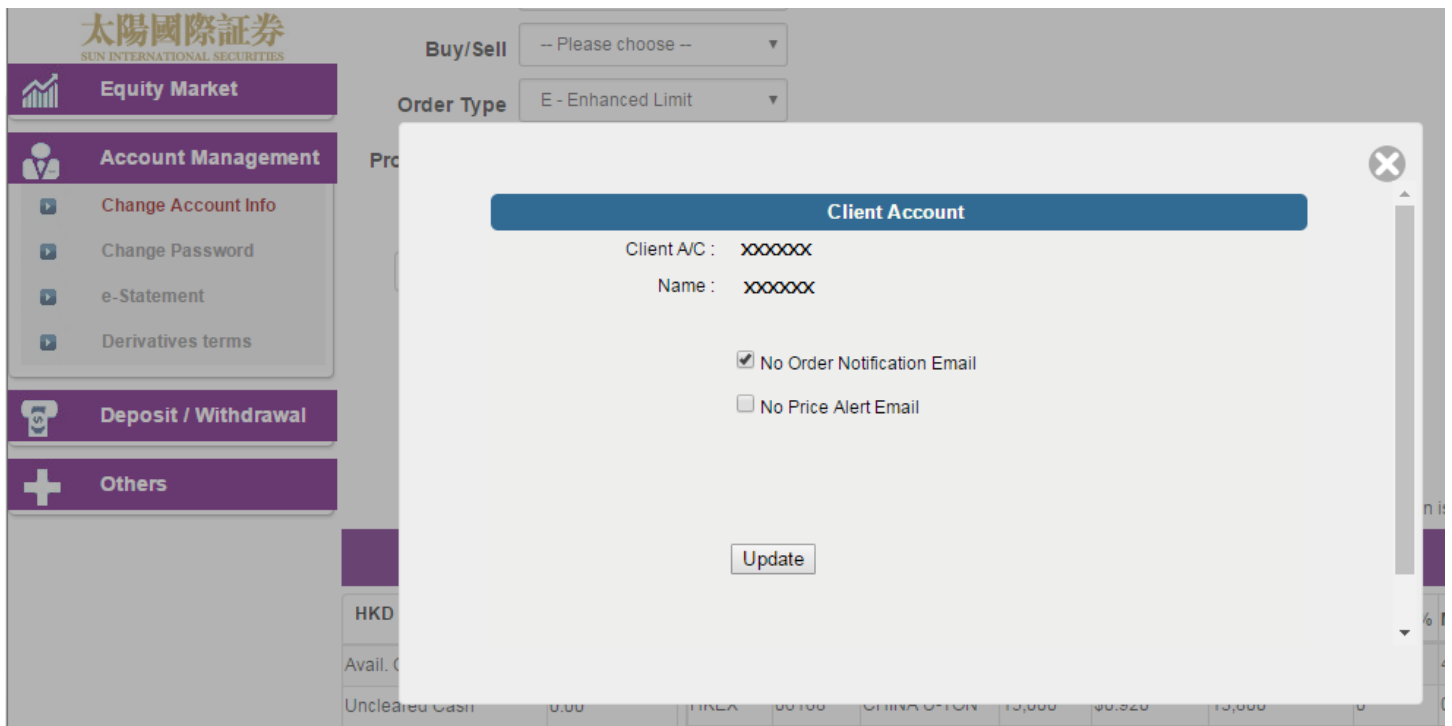


The screenshot shows the Sun International Securities website interface. On the left, the navigation menu includes "Equity Market", "Account Management", "Deposit / Withdrawal", and "Others". The "Account Management" section is expanded, showing options like "Change Account Info", "Change Password", "e-Statement", and "Derivatives terms". The "Change Password" option is highlighted. A modal dialog box titled "Change User Password" is open in the foreground. It contains the following fields and text:

- User : xxxxxx
- Name : xxxxxx
- Old Password :
- New Password :
- Retype Password :
- Password Rule : **Minimum length 8 characters, Maximum length 12 characters**
Must contain at least 1 digit(s)
Must contain at least 1 letter(s)
- Update Login Password

Input the old password and new password respectively. Make sure that “New Password” and “Retype Password” are the same. Click “Update Login Password” to confirm.

3.3 Change User Info



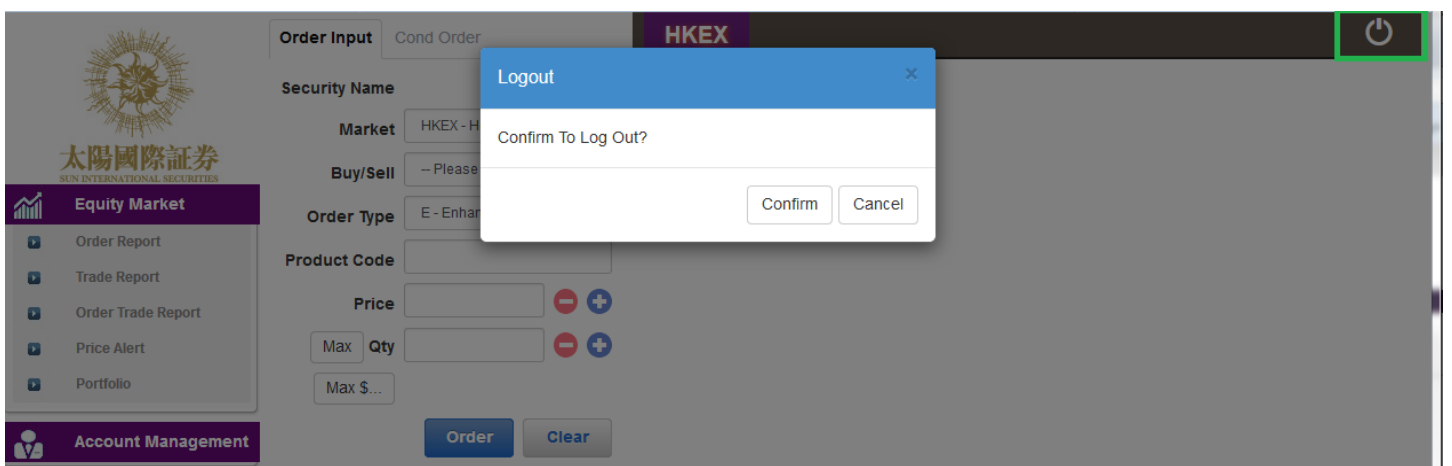
Open “Account Management” and then click “Change Account Info”

Tick the box if you do not wish to receive order notification email or price alert email.

Press “Update” to confirm the change.

3.4 Logout

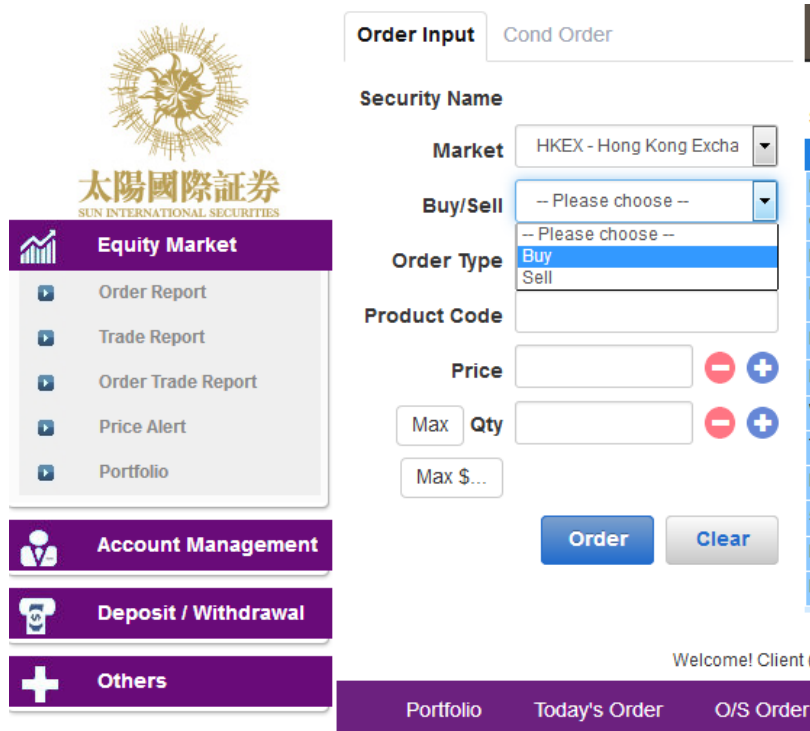
To log out, click the “Logout” icon on the Main Window menu and then confirm to logout.



4 Order Processing & Account Management

4.1 Input Order

- Select “HKEX – Hong Kong Exchange” or “SHA – ShangHai A-Shares” in Market
- Click “Buy” or “Sell” icon in the main window “Buy/Sell” drop-down box;



The screenshot displays the 'Order Input' screen for a 'Cond Order'. The left sidebar shows the 'Equity Market' menu with options like Order Report, Trade Report, Order Trade Report, Price Alert, and Portfolio. The main form includes:

- Security Name:** A text input field.
- Market:** A dropdown menu set to 'HKEX - Hong Kong Excha'.
- Buy/Sell:** A dropdown menu set to 'Buy'.
- Order Type:** A dropdown menu set to 'Buy'.
- Product Code:** A text input field.
- Price:** A text input field with '+' and '-' buttons.
- Qty:** A text input field with '+' and '-' buttons.
- Max \$...:** A text input field.
- Buttons:** 'Order' and 'Clear' buttons.

At the bottom, there is a 'Welcome! Client' message and a navigation bar with 'Portfolio', 'Today's Order', and 'O/S Order' tabs.

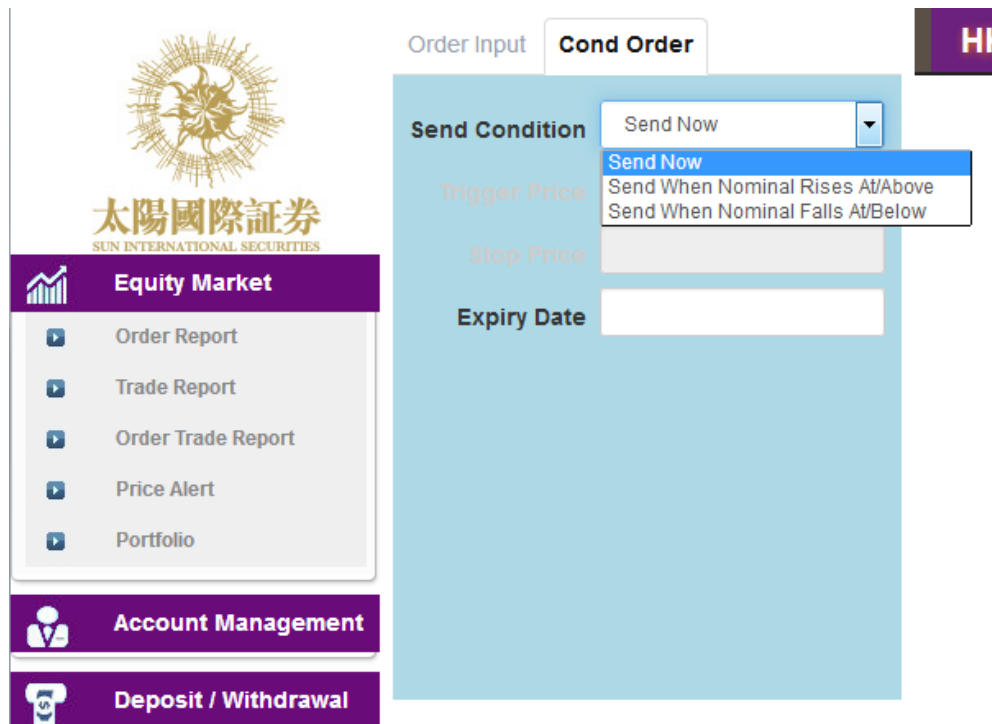
- Input Order Type, Product Code (Stock Code), Price and Quantity and click “Order” button to place order; otherwise click “Clear” button to clear above information;
- If you double-click a particular price inside the real time price feed screen, the order input screen will be shown and you are only required to input the quantity, click “Order” to place the order;
- If you click a particular stock inside the “Portfolio” tab page, a sell order input screen will be shown and you are only required to input the price and then click “Order” to place the order. Please note that, by system default the sell QTY is the total of that client possesses.

Remark:

- Details of Order Types, please refer to FAQ section;
- If you press “+” inside the “Price” field, it will add 1 price spread into existing price. If you press “-” inside the “Price” field, it will subtract 1 price spread from existing price;
- This feature only applies to client which has subscribed the Real Time Price Feed service;
- The “Max” function is to calculate the maximum quantity of the product that the appointed client can buy.
- The “Max\$” function is to calculate the maximum quantity of the product that the appointed client can buy within the amount.

4.2 Program Trade

Sun International Securities Online Trading Platform (OTP) supports basic program trading. Click on the “Cond Order”, condition setting option will be showed:



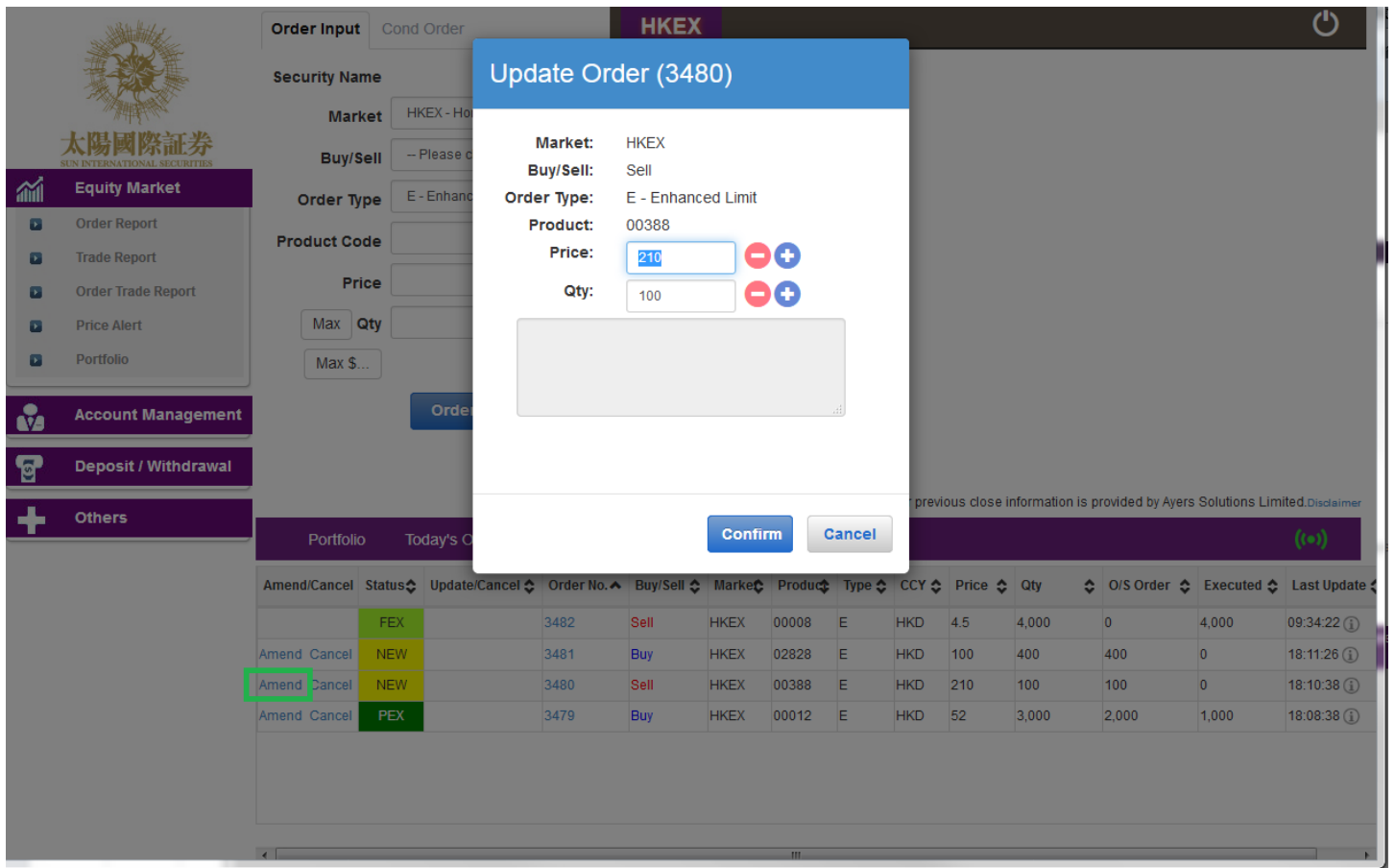
The screenshot displays the 'Cond Order' form in the Sun International Securities Online Trading Platform. The form is titled 'Order Input' and 'Cond Order'. It features a 'Send Condition' dropdown menu with the following options: 'Send Now', 'Send When Nominal Rises At/Above', and 'Send When Nominal Falls At/Below'. Below the dropdown are input fields for 'Trigger Price', 'Stop Price', and 'Expiry Date'. The left sidebar contains navigation options: 'Equity Market', 'Account Management', and 'Deposit / Withdrawal'.

Select condition and input the trigger price, the system will then send the order to market accordingly.

Send Condition	Details
Send Now	The order will send to Exchange immediately
When Nominal Rises At/Above	The order will keep in the system, when the nominal rises at or above the trigger price; the order will then release to market.
When Nominal Falls At/Below	The order will keep in the system, when the nominal falls at or below the trigger price; the order will then release to market.

4.3 Update Order

- a) Select the “Today’s Order” tab page in the main window.
- b) Click “Amend” on the order you wish to update, a popup menu will be shown.



The screenshot shows the 'Update Order (3480)' dialog box in the Sun International Securities trading system. The dialog box contains the following information:

- Market: HKEX
- Buy/Sell: Sell
- Order Type: E - Enhanced Limit
- Product: 00388
- Price: 210 (with +/- buttons)
- Qty: 100 (with +/- buttons)

At the bottom of the dialog box are 'Confirm' and 'Cancel' buttons. The background shows a table of orders with the following columns: Amend/Cancel, Status, Update/Cancel, Order No., Buy/Sell, Market, Product, Type, CCY, Price, Qty, O/S Order, Executed, and Last Update. The order with Order No. 3480 is highlighted in green.

Amend/Cancel	Status	Update/Cancel	Order No.	Buy/Sell	Market	Product	Type	CCY	Price	Qty	O/S Order	Executed	Last Update
	FEX		3482	Sell	HKEX	00008	E	HKD	4.5	4,000	0	4,000	09:34:22
Amend	Cancel	NEW	3481	Buy	HKEX	02828	E	HKD	100	400	400	0	18:11:26
Amend	Cancel	NEW	3480	Sell	HKEX	00388	E	HKD	210	100	100	0	18:10:38
Amend	Cancel	PEX	3479	Buy	HKEX	00012	E	HKD	52	3,000	2,000	1,000	18:08:38

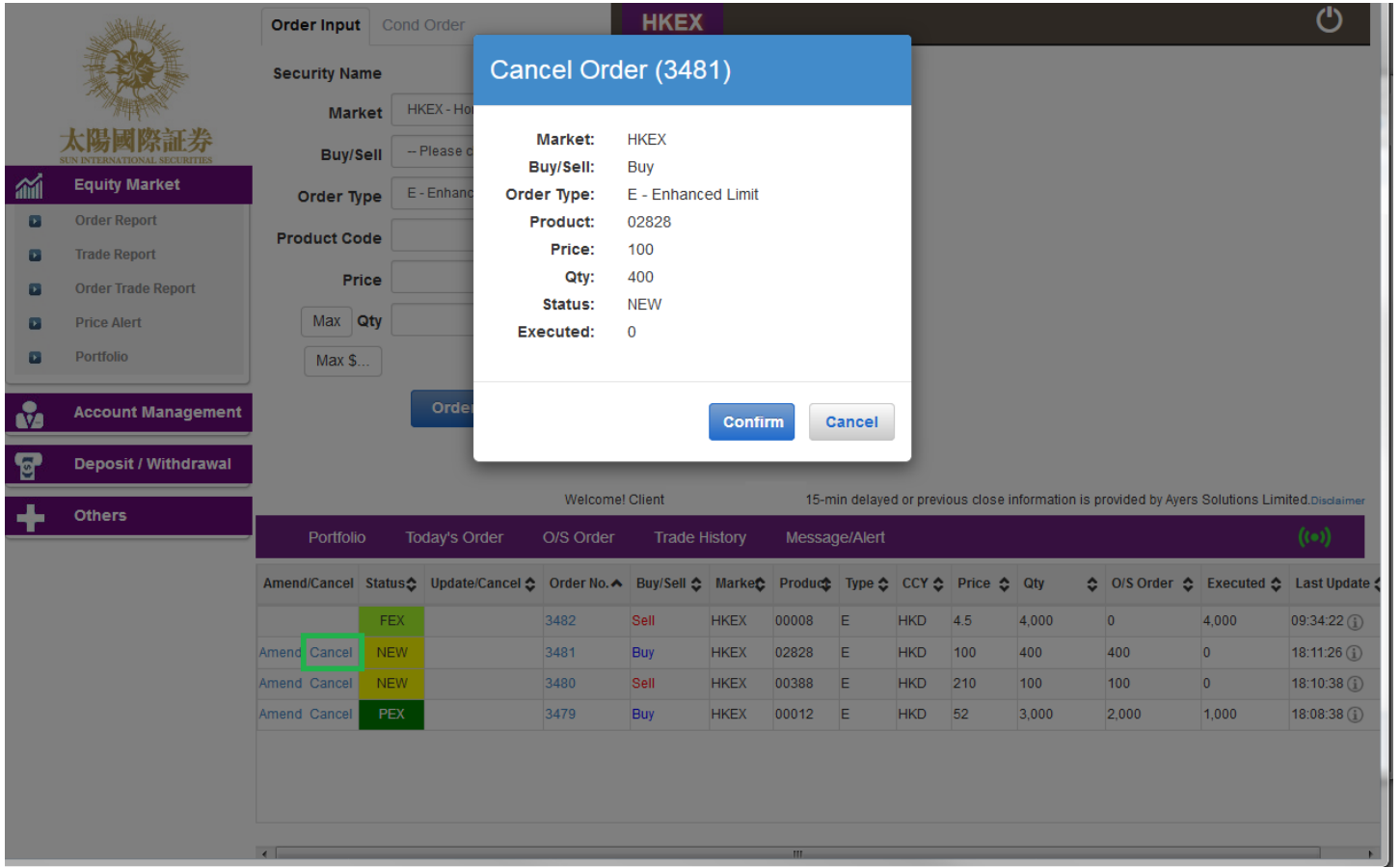
- c) Input the new Price or new Quantity and click “Confirm” to send the update request

Remark:

- 1) Note that sending the update request does not necessarily mean that the order is successfully updated. Please contact our Customer Service Representative if you have any queries.
- 2) If you press “+” inside the “Price” field, it will add 1 price spread into existing price. If you press “-” inside the “Price” field, it will subtract 1 price spread from existing price.

4.4 Cancel Order

- Select the “Today’s Order” tab page in the main window.
- Click “Cancel” on the order you want to cancel, a popup menu will be shown. Click the “Confirm” to send the order cancel request***.



The screenshot shows the 'Cancel Order (3481)' popup dialog with the following details:

- Market: HKEX
- Buy/Sell: Buy
- Order Type: E - Enhanced Limit
- Product: 02828
- Price: 100
- Qty: 400
- Status: NEW
- Executed: 0

The background shows the 'Today's Order' tab with the following table:

Amend/Cancel	Status	Update/Cancel	Order No.	Buy/Sell	Market	Product	Type	CCY	Price	Qty	O/S Order	Executed	Last Update
	FEX		3482	Sell	HKEX	00008	E	HKD	4.5	4,000	0	4,000	09:34:22
Amend	Cancel	NEW	3481	Buy	HKEX	02828	E	HKD	100	400	400	0	18:11:26
Amend	Cancel	NEW	3480	Sell	HKEX	00388	E	HKD	210	100	100	0	18:10:38
Amend	Cancel	PEX	3479	Buy	HKEX	00012	E	HKD	52	3,000	2,000	1,000	18:08:38

- If the successfully cancel the order status will change to “CAN”.

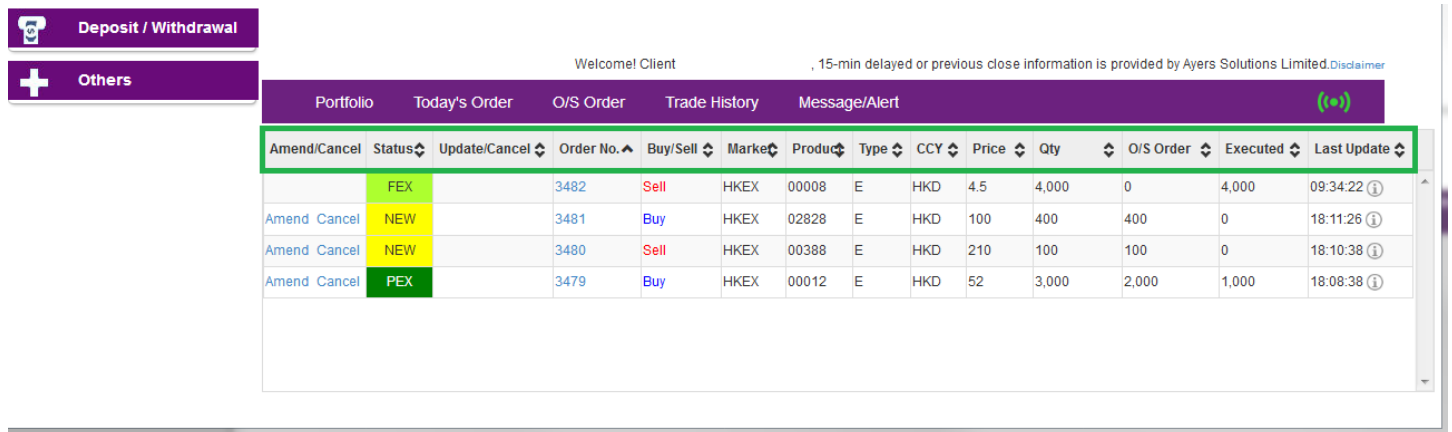
Remark***:

Note that sending the cancel request does not necessarily mean that the order is successfully cancel. Please contact our Customer Service Representative if you have any queries.

4.5 Order Information Enquiry

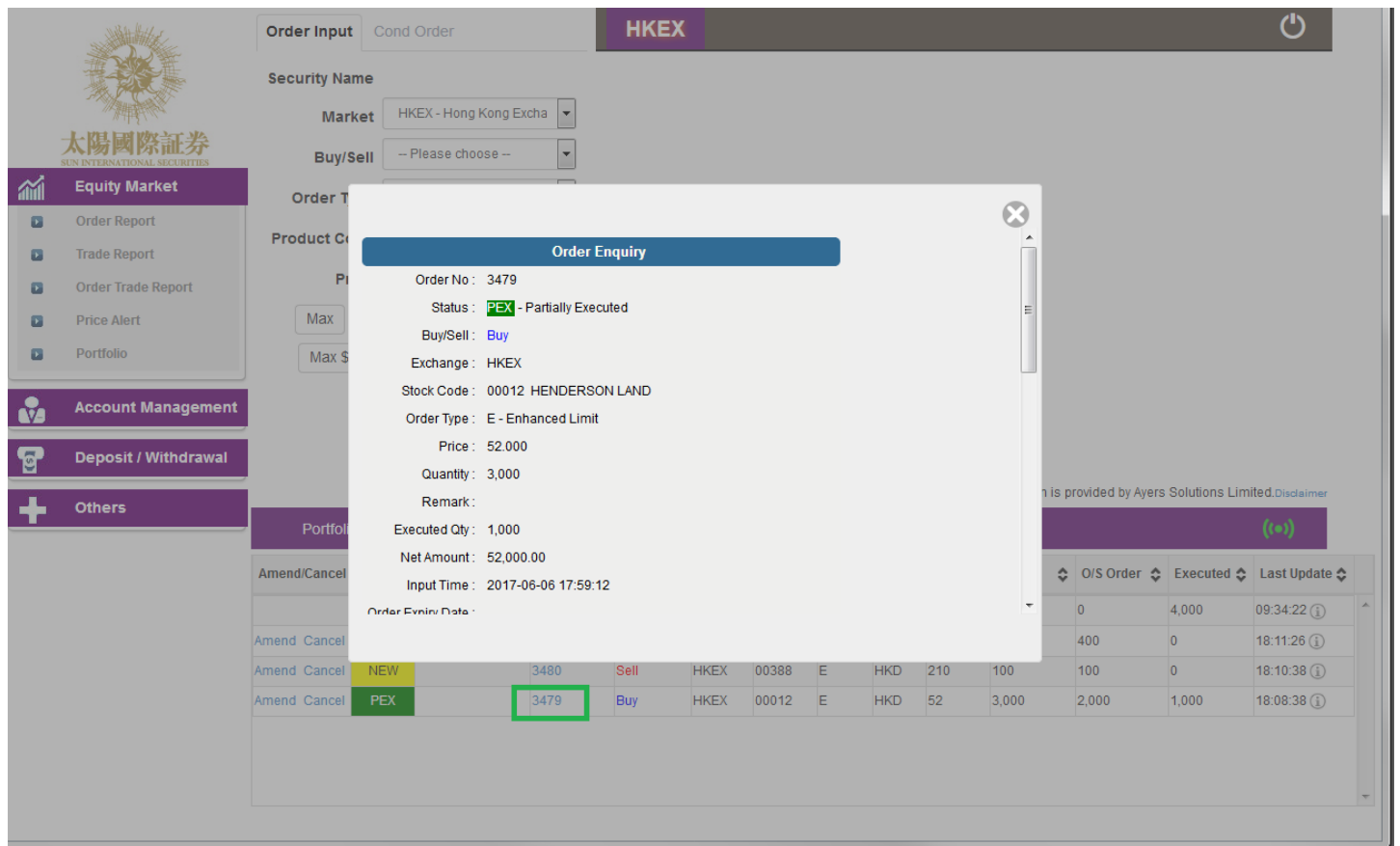
- Select the “Today’s Order” tab page in the main window. All the orders will be shown in the table. Moreover, all the order information is real time basis.
- You can sort the orders inside the table according to the type of column e.g. Status, Amend/Cancel, Order No, Buy/Sell, Product, Price, Quantity, etc.

For example, to sort all the orders using order no, simply click the “Order No. column.



Amend/Cancel	Status	Update/Cancel	Order No.	Buy/Sell	Market	Product	Type	CCY	Price	Qty	O/S Order	Executed	Last Update
	FEX		3482	Sell	HKEX	00008	E	HKD	4.5	4,000	0	4,000	09:34:22 ⓘ
Amend Cancel	NEW		3481	Buy	HKEX	02828	E	HKD	100	400	400	0	18:11:26 ⓘ
Amend Cancel	NEW		3480	Sell	HKEX	00388	E	HKD	210	100	100	0	18:10:38 ⓘ
Amend Cancel	PEX		3479	Buy	HKEX	00012	E	HKD	52	3,000	2,000	1,000	18:08:38 ⓘ

- To enquire detailed information of an order, click on the Order Number, a popup menu will be shown.



Order Enquiry

Order No: 3479

Status: PEX - Partially Executed

Buy/Sell: Buy

Exchange: HKEX

Stock Code: 00012 HENDERSON LAND

Order Type: E - Enhanced Limit

Price: 52.000

Quantity: 3,000

Remark:

Executed Qty: 1,000

Net Amount: 52,000.00


Input Time: 2017-06-06 17:59:12

Order Enquiry Date:

Amend/Cancel	Status	Update/Cancel	Order No.	Buy/Sell	Market	Product	Type	CCY	Price	Qty	O/S Order	Executed	Last Update
Amend Cancel	NEW		3480	Sell	HKEX	00388	E	HKD	210	100	100	0	18:10:38 ⓘ
Amend Cancel	PEX		3479	Buy	HKEX	00012	E	HKD	52	3,000	2,000	1,000	18:08:38 ⓘ

4.6 Trade Information Enquiry

Select the "Trade History" tab page in the order journal region and all of the today's executed trades will be shown.



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SUN INTERNATIONAL SECURITIES

Equity Market

- ▶ Order Report
- ▶ Trade Report
- ▶ Order Trade Report
- ▶ Price Alert
- ▶ Portfolio


Account Management

Deposit / Withdrawal

Others

Order Input Cond Order

HKEX



Symbol: 00001 Information provided by AASTOCKS Disclaimer

CKH HOLDINGS (00001) – Quote is delayed for at least 15 mins 2017-06-07 10:56:28

Last Price	Price Change 0.300	Bid 101.300	Day High 101.500	Open 100.800
101.300	PCT Change 0.295%	Ask 101.400	Day Low 100.800	Prev. Close 101.600

Volume	760.32K	Turnover	76.88M
52 Week Range	80.600 - 103.900	Lot Size	500
P/E Ratio	11.8480	Market Capital	390.78B

Linked Warrants: 11249, 11294, 11632, 12103, 12385, 13020, 13649, 14120, 14286, 14393, 14482, 14610, 15001, 15028, 15050, 15273, 15274, 15307, 15309, 15460, 15508, 15550, 15660, 15843, 16036, 16146, 16310, 16337, 16388, 16432, 16766, 17055, 18471, 18474, 18530, 20713, 22787, 22827, 23059, 23779, 25352, 25362, 26312, 26673, 27952, 28032, 28260, 28360, 28491, 28672, 28960, 29261, 29361, 60050, 60159, 60218, 60368, 60369, 60443, 60455, 60457, 60479, 60488, 60489, 60572, 61035, 61106, 61193, 64266, 64585, 65153, 65243, 65330, 65335, 68633, 68749, 69159, 69164, 69187, 69358


Welcome! Client , 15-min delayed or previous close information is provided by Ayers Solutions Limited. [Disclaimer](#)

Portfolio
Today's Order
O/S Order
Trade History
Message/Alert
(••)

Buy/Sell	Market	Product Code	Product Name	Exec. Price	Qty	Amount
Sell	HKEX	00008	PCCW	\$4.5000	4,000	\$18,000

4.7 Client Portfolio Enquiry

Select the "Portfolio" tab page in the order journal region and the client portfolio information will be shown.



太陽國際証券
SUN INTERNATIONAL SECURITIES

Equity Market

- ▶ Order Report
- ▶ Trade Report
- ▶ Order Trade Report
- ▶ Price Alert
- ▶ Portfolio

Account Management

Deposit / Withdrawal

Others

Order Input Cond Order

Security Name

Market: HKEX - Hong Kong Excha

Buy/Sell: -- Please choose --

Order Type: E - Enhanced Limit

Product Code

Price

Max Qty

Max \$...

Order **Clear**

HKEX

Symbol: 00001 Search

Information provided by AASTOCKS Disclaimer

CKH HOLDINGS (00001) -- Quote is delayed for at least 15 mins 2017-06-07 11:25:28

Last Price	Price Change 0.300	Bid	Day High	Open
101.300	0.295%	101.200	101.500	100.800
		Ask	Day Low	Prev.Close
		101.300	100.800	101.600

Volume: 927.29K Turnover: 93.78M

52 Week Range: 80.600 - 103.900 Lot Size: 500

P/E Ratio: 11.8480 Market Capital: 390.78B

Linked Warrants: 11249, 11294, 11632, 12103, 12385, 13020, 13649, 14120, 14286, 14393, 14482, 14610, 15001, 15028, 15050, 15273, 15274, 15307, 15309, 15460, 15508, 15550, 15660, 15843, 16036, 16146, 16310, 16337, 16388, 16432, 16766, 17055, 18471, 18474, 18530, 20713, 22787, 22827, 23059, 23779, 25352, 25362, 26312, 26673, 27952, 28032, 28260, 28360, 28491, 28672, 28960, 29261, 29361, 60050, 60159, 60218, 60368, 60369, 60443, 60455, 60457, 60479, 60488, 60489, 60572, 61035, 61106, 61193, 64266, 64585, 65153, 65243, 65330, 65335, 68633, 68749, 69159, 69164, 69187, 69358

Welcome! Client , 15-min delayed or previous close information is provided by Ayers Solutions Limited.Disclaimer

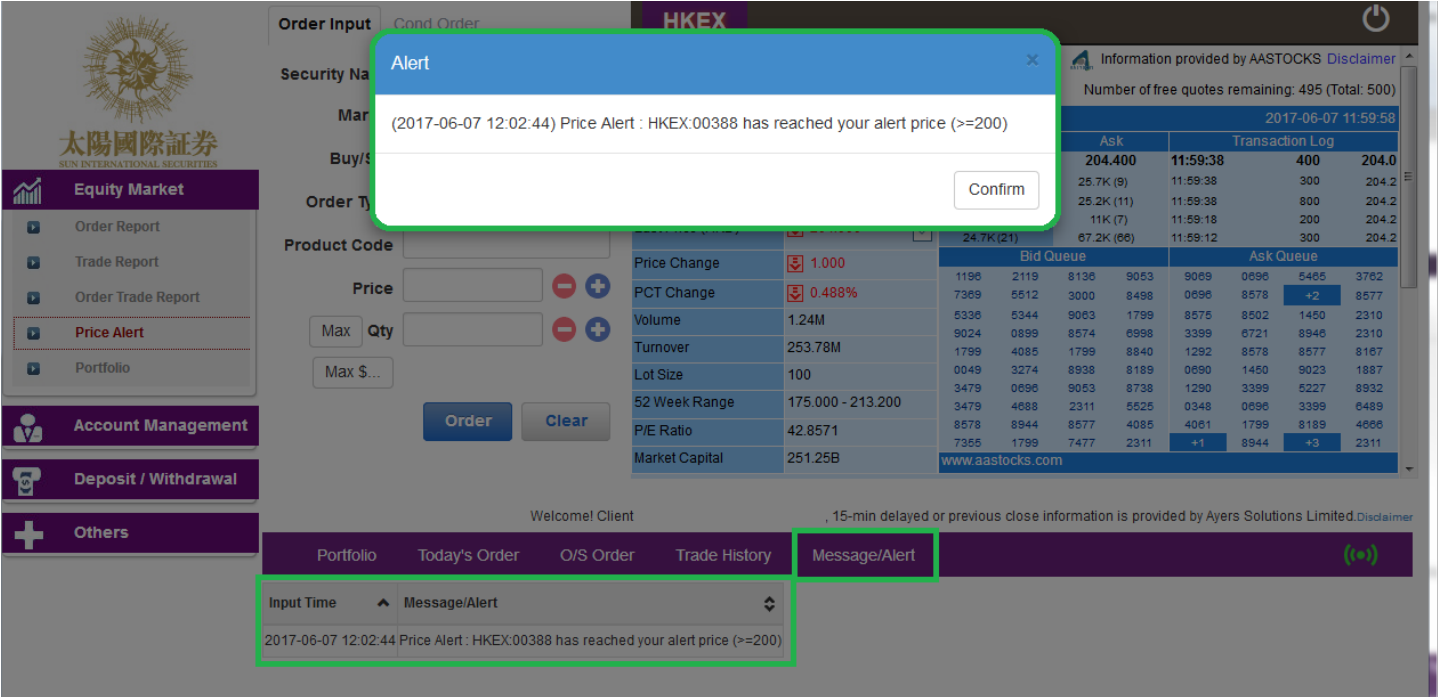
Portfolio Today's Order O/S Order Trade History Message/Alert

HKD Eqv. ↓	Cash Bal.	Market	Product	Product Name	Qty	Prev.Close	Market Val. (Ref)	Margin %	Margin Value	Avg. Cost	Ref. P/L
Avail. Cash	914,708.08	BOND	SUNRE...	Sun Intl Res Lt...	1,000	\$0.000	0	0	0	\$0.000	\$0.00
Uncleared Cash	11,271.70	BOND	SUNRE...	Sun Intl Res Lt...	2,000	\$0.000	0	0	0	\$0.000	\$0.00
Purchase Limit	0.00	HKEX	00001	CHEUNG KONG	1,000	\$0.000	0	50	0	\$90.128	\$0.00
Used Limit	-144,205.94	HKEX	00005	HSBC HOLDI...	5,200	\$0.000	0	75	0	\$53.365	\$0.00
Avail. Purchase	770,502.14	HKEX	00008	PCCW	10,000	\$0.000	0	60	0	\$6.094	\$0.00
Avail. Limit	770,502.14	HKEX	00012	HENDERSON...	2,000	\$0.000	0	75	0	\$49.302	\$0.00
Value (Ref)	12,933.59	HKEX	00016	SHK PPT	900	\$0.000	0	75	0	\$27.068	\$0.00
Portfolio (Ref)	927,641.67										

4.8 Messages/ Alerts

If your trading service provider sent a message to you, a pop up window will appear as follow:

Select the “Messages/ Alert” tab page in the order journal region can review all messages



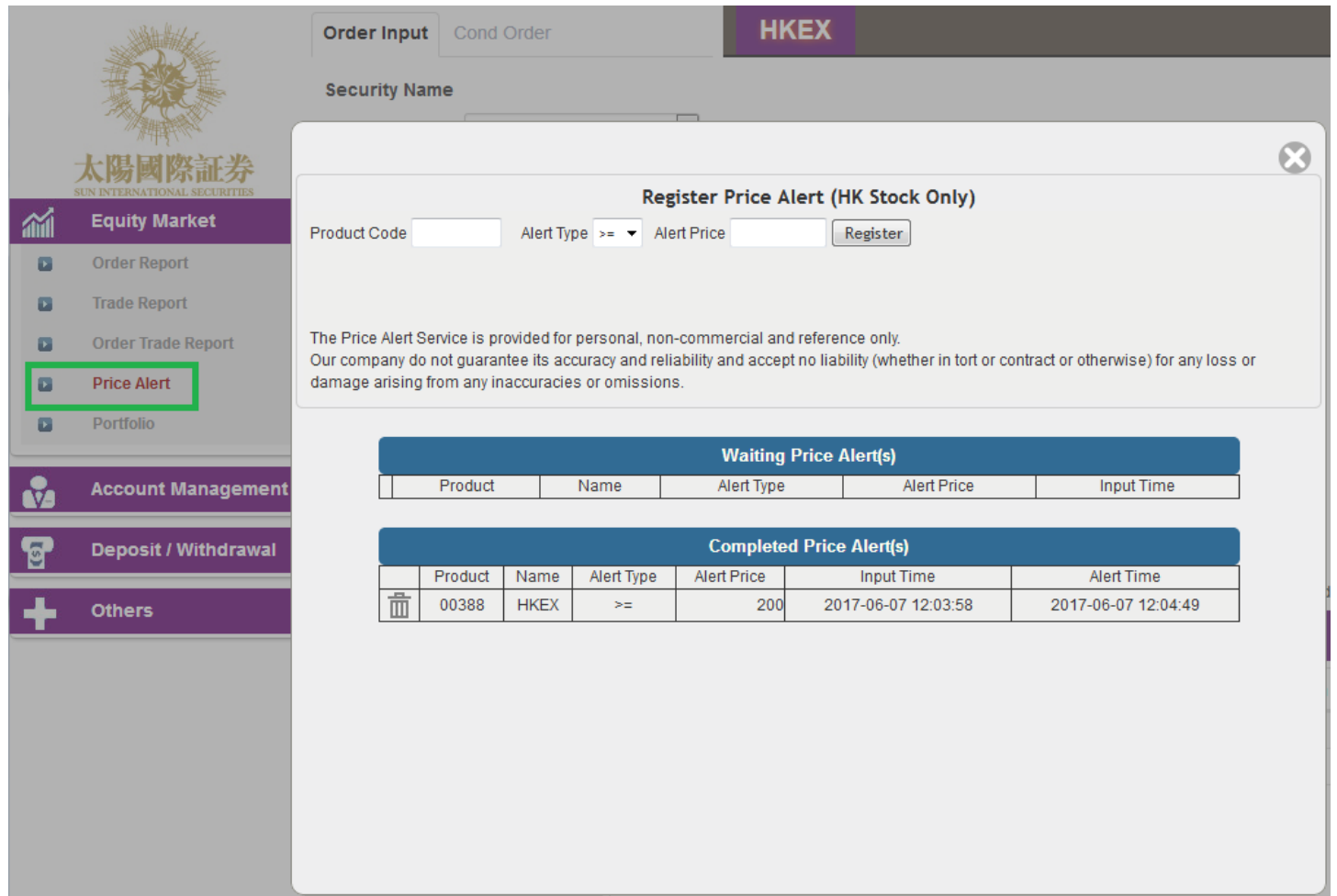
The screenshot displays the Sun International Securities trading interface. A blue pop-up window titled "Alert" is centered on the screen, containing the message: "(2017-06-07 12:02:44) Price Alert : HKEX:00388 has reached your alert price (>=200)". A "Confirm" button is located at the bottom right of the pop-up. In the background, the "Order Input" section for HKEX is visible, showing a price of 204.400 and a PCT Change of 0.488%. The bottom navigation bar includes tabs for "Portfolio", "Today's Order", "O/S Order", "Trade History", and "Message/Alert". The "Message/Alert" tab is selected, and a dropdown menu shows the alert message: "2017-06-07 12:02:44 Price Alert : HKEX:00388 has reached your alert price (>=200)".

5 Price Alert

This function is to provide an alert when nominal reach the alert price.

Click “Equity Market” → “Price Alert” in the main menu:

- Enter product code
- Select alert type
- Enter alert price
- Click register to finish




Register Price Alert (HK Stock Only)

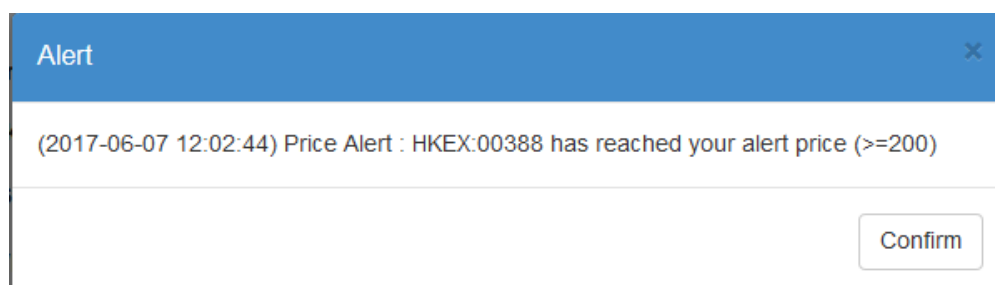
Product Code Alert Type Alert Price

The Price Alert Service is provided for personal, non-commercial and reference only.
 Our company do not guarantee its accuracy and reliability and accept no liability (whether in tort or contract or otherwise) for any loss or damage arising from any inaccuracies or omissions.

Waiting Price Alert(s)						
Product	Name	Alert Type	Alert Price	Input Time		

Completed Price Alert(s)						
	Product	Name	Alert Type	Alert Price	Input Time	Alert Time
	00388	HKEX	>=	200	2017-06-07 12:03:58	2017-06-07 12:04:49

When nominal reach the alert price, an alert window will pop up as follow:

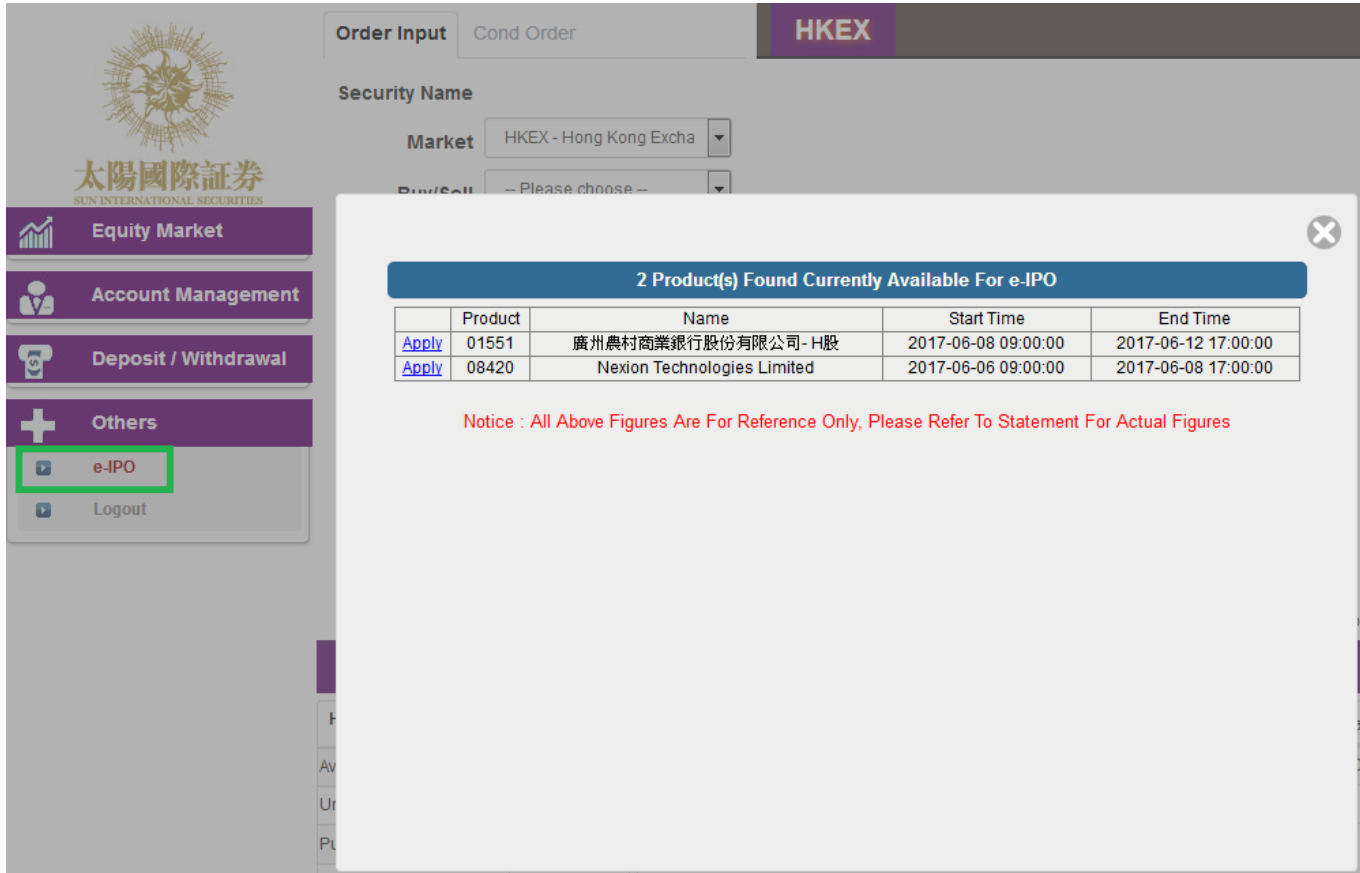


Alert ×

(2017-06-07 12:02:44) Price Alert : HKEX:00388 has reached your alert price (>=200)

6 e-IPO

- a) Move the mouse to “Others” and click “e-IPO”.
- b) Click on the “Apply” hyperlink.



Order Input Cond Order **HKEX**

Security Name

Market HKEX - Hong Kong Excha

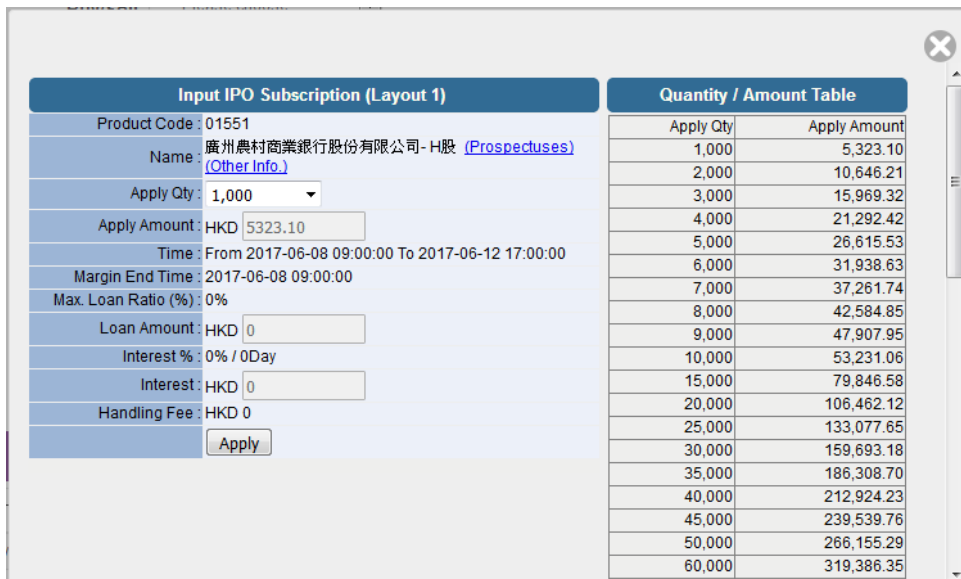
Buy/Sell -- Please choose --

2 Product(s) Found Currently Available For e-IPO

	Product	Name	Start Time	End Time
Apply	01551	廣州農村商業銀行股份有限公司- H股	2017-06-08 09:00:00	2017-06-12 17:00:00
Apply	08420	Nexion Technologies Limited	2017-06-06 09:00:00	2017-06-08 17:00:00

Notice : All Above Figures Are For Reference Only, Please Refer To Statement For Actual Figures

- c) Read and Accept the “NEW SHARE/BOND SUBSCRIPTION DISCLAIMER”
- d) Select “Apply Quantity” and “Loan Financing” from drop down menu. The system will automatically calculate the require amount.
- e) Click “Apply” and “Confirm” to finish.



Input IPO Subscription (Layout 1)

Product Code : 01551

Name : 廣州農村商業銀行股份有限公司- H股 ([Prospectuses](#))
([Other Info](#))

Apply Qty : 1,000

Apply Amount : HKD 5323.10

Time : From 2017-06-08 09:00:00 To 2017-06-12 17:00:00

Margin End Time : 2017-06-08 09:00:00

Max. Loan Ratio (%) : 0%

Loan Amount : HKD 0

Interest % : 0% / 0Day

Interest : HKD 0

Handling Fee : HKD 0

Quantity / Amount Table

Apply Qty	Apply Amount
1,000	5,323.10
2,000	10,646.21
3,000	15,969.32
4,000	21,292.42
5,000	26,615.53
6,000	31,938.63
7,000	37,261.74
8,000	42,584.85
9,000	47,907.95
10,000	53,231.06
15,000	79,846.58
20,000	106,462.12
25,000	133,077.65
30,000	159,693.18
35,000	186,308.70
40,000	212,924.23
45,000	239,539.76
50,000	266,155.29
60,000	319,386.35

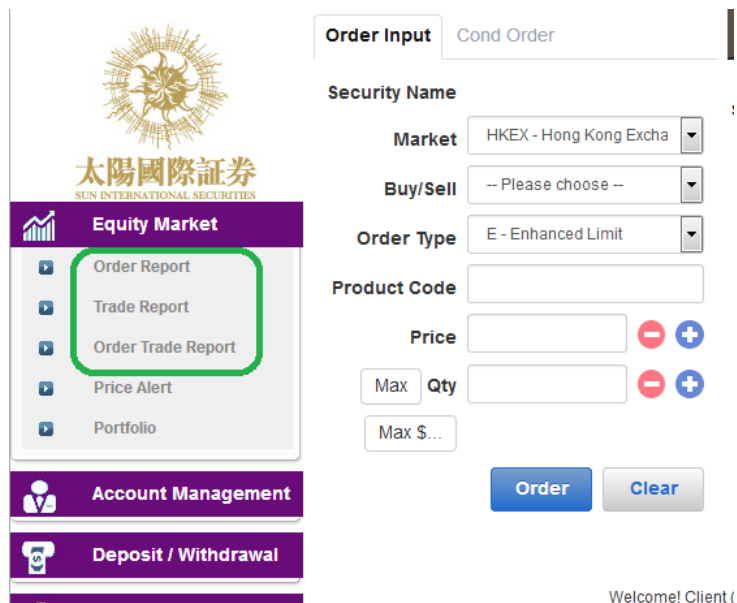
Remark:

IPO can only subscribe once.

If you want to cancel IPO subscription, please contact dealing hotline 35858988.

7 Report

There are 3 reports available: “Order History”, “Trade History” and “Order Trades”.

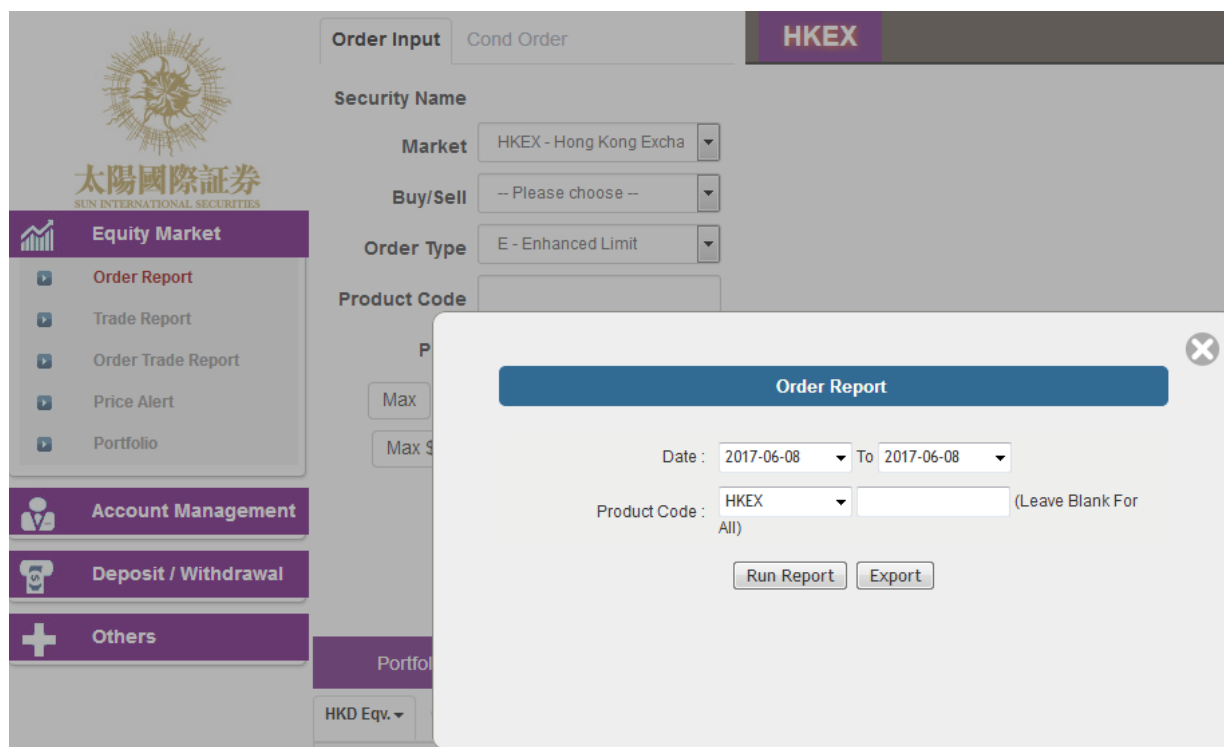


The screenshot shows the Sun International Securities web interface. On the left is a sidebar with a purple header 'Equity Market' and several menu items: 'Order Report' (highlighted with a green box), 'Trade Report', 'Order Trade Report', 'Price Alert', and 'Portfolio'. Below this are 'Account Management' and 'Deposit / Withdrawal' sections. The main area is titled 'Order Input' and contains a form for placing orders. The form includes fields for 'Security Name', 'Market' (set to 'HKEX - Hong Kong Excha'), 'Buy/Sell' (set to '-- Please choose --'), 'Order Type' (set to 'E - Enhanced Limit'), and 'Product Code'. There are also input fields for 'Price', 'Max Qty', and 'Max \$...'. At the bottom of the form are 'Order' and 'Clear' buttons. A 'Welcome! Client (' message is visible at the bottom of the page.

- Move the mouse cursor to “Equity Market” and click on the desire report.
- Select date range and product (if require).
- Click on “Run Report” button to generate records.
- If wish to save or print the report, click on the corresponding link.

Remark:

System will only keep 7 days of Order History.



The screenshot shows the Sun International Securities web interface with the 'Order Report' dialog box open. The dialog box has a title bar 'Order Report' and a close button. It contains the following fields: 'Date' (2017-06-08) and 'To' (2017-06-08), 'Product Code' (HKEX) with a note '(Leave Blank For All)'. At the bottom of the dialog are 'Run Report' and 'Export' buttons. The background shows the same 'Order Input' form as in the previous screenshot, but it is dimmed.

8 Frequently Asked Question (FAQ)

8.1 What software is required to install for online trading platform?

In order to access our online trading platform, the following component will be required for your machine.

- Microsoft Window7 or above
- Microsoft Internet Explorer 6 (or above), Chrome or Firefox

To install Oracle Java, you can download it from the following URL

<http://www.java.com/>

8.2 Why the price quote section and order journal section cannot be displayed?

You could possible did not install Oracle Java or your Oracle Java version is incorrect, please go to our website to download Oracle Java.

8.3 Why sometimes internet trade client cannot receive email for the password?

- a) Please ask client to check the junk-mail box.
- b) QQmail and Hotmail have higher chances of not being able to receive the email, please use other email a/c.

8.4 Why order journal section cannot be displayed?

Try to connect via "Standard Version" before login.

8.5 How to display Chinese character in internet trading system?

Open internet browser. Click on menu "Tools" > "Internet Option" and press the "language" button. Click on "Add" button and select the desired language.

8.6 How to calculate Available Limit?

Available Limit = Available Cash + Credit Limit – Used Limit (O/S Buy)

8.7 Can order placed by internet client be updated or cancel in OTP or vice versa?

Yes. Please select "Today's Order", then click "Amend" or "Cancel" to update or cancel the order.

8.8 How long will the trading records be kept in the system?

The system will kept the trading records for 7 days. (Include Sat, Sun and public holidays).

8.9 What does the order status code mean? (e.g. NEW, WA,)

Order Status code	Description
NEW	The order is pending for processing
NEW(HOLD)	The order is hold at system until release condition matches.
WA	The order is waiting for approval
PRO	The order is processing
Q(MWS)	The order has been queued in securities company
Q	The order has been queued in market
PEX	The order has been partially filled
FEX	The order has been filled and completed
CAN	The order has been cancelled
REJ	The order has been rejected

8.10 Reasons for Order rejection

8.10.1 Why order rejected “by price warning”?

The price of the order has exceeded 20 spread from the bid/ ask price.

8.10.2 Why order rejected by “invalid order price”?

- a. When using Limit Order type to buy, the entered price should not be higher than the ask price.
- b. When using Limit Order type to sell, the entered price should not be lower than the bid price.
- c. When using Enhance Limit Order, if the price had been modified, the system will then change the order type to Limit Order type. If the changed price had the same problem as (8.10.2 a or b). The order would also reject.
- d. When using Special Limit Order, if there is not enough stock in the market, the remaining will then be rejected.

9 Order types

Sun International Securities Online Trading Platform (OTP) supports all the order types provided by HKEx.

Order Type*	Description*												
L	<p data-bbox="316 454 475 488">Limit Order</p> <p data-bbox="316 521 1106 555">This order type allows matching at the specified price queue.</p> <table border="1" data-bbox="316 589 778 846"> <thead> <tr> <th data-bbox="320 595 435 629">Order</th> <th data-bbox="438 595 608 629">Matching</th> <th data-bbox="611 595 774 629">Result</th> </tr> </thead> <tbody> <tr> <td data-bbox="320 656 435 840" rowspan="6"> Limit Order Buy 250K at \$18.0 </td> <td data-bbox="438 656 608 689" style="text-align: center;">Ask</td> <td data-bbox="611 656 774 701" rowspan="6"> Trades generated: 30K at \$18.0 Outstanding: 220K at \$18.0 </td> </tr> <tr> <td data-bbox="438 689 608 712" style="text-align: center;">Price Qty</td> </tr> <tr> <td data-bbox="438 712 608 734">\$18.4 90K</td> </tr> <tr> <td data-bbox="438 734 608 757">\$18.3 50K</td> </tr> <tr> <td data-bbox="438 757 608 779">\$18.2 20K</td> </tr> <tr> <td data-bbox="438 779 608 801">\$18.1 190K</td> </tr> <tr> <td data-bbox="438 801 608 840" style="background-color: #e0e0ff;">\$18.0 30K ←</td> </tr> </tbody> </table>	Order	Matching	Result	Limit Order Buy 250K at \$18.0	Ask	Trades generated: 30K at \$18.0 Outstanding: 220K at \$18.0	Price Qty	\$18.4 90K	\$18.3 50K	\$18.2 20K	\$18.1 190K	\$18.0 30K ←
Order	Matching	Result											
Limit Order Buy 250K at \$18.0	Ask	Trades generated: 30K at \$18.0 Outstanding: 220K at \$18.0											
	Price Qty												
	\$18.4 90K												
	\$18.3 50K												
	\$18.2 20K												
	\$18.1 190K												
\$18.0 30K ←													

E
Enhanced Limit Order (ELO)

Enhanced limit order is similar to the limit order except that it will allow matching of up to five price queues at a time. The ask order price of ELO can be inputted at four spreads lower than the current bid or the bid order price can be inputted at 4 spreads higher than current ask price. Any unfilled quantity of ELO after matching will be stored in the System as a normal limit order at the input order price.

Example 1: Enhanced Limit Order – fully matched Table 1(a): Original Position

Bid		Ask	
Price	Volume	Price	Volume
\$30.00	100K	\$30.05	80K
\$29.95	90K	\$30.10	70K
\$29.90	80K	\$30.15	160K
\$29.85	60K	\$30.20	50K
\$29.80	180K	\$30.25	60K
\$29.75	34K	\$30.30	50K
\$29.70	100K	\$30.35	40K
\$29.65	150K	\$30.40	45K
\$29.60	18K	\$30.45	325K

Enhanced Limit Order: to buy 400K@ \$30.25

Table 1(b): After Execution

Bid		Ask	
Price	Volume	Price	Volume

\$30.00	100K	\$30.25	20K
\$29.95	90K	\$30.30	50K
\$29.90	80K	\$30.35	40K
\$29.85	60K	\$30.40	45K
\$29.80	180K	\$30.45	325K
<i>\$29.75</i>	<i>34K</i>	<i>\$30.50</i>	<i>20K</i>
<i>\$29.70</i>	<i>100K</i>	<i>\$30.55</i>	<i>30K</i>
<i>\$29.65</i>	<i>150K</i>	<i>\$30.60</i>	<i>50K</i>
<i>\$29.60</i>	<i>18K</i>	<i>\$30.65</i>	<i>60K</i>

Trade executed 80K@ \$30.05
 70K@ \$30.10
 160K@ \$30.15
 50K@ \$30.20
 40K@ \$30.25

Unfilled None

Example 2: Enhanced Limit Order – with unfilled quantity

Table 2 (a): Original Position

Bid		Ask	
Price	Volume	Price	Volume
\$30.00	100K	\$30.05	80K
\$29.95	90K	\$30.10	70K
\$29.90	80K	\$30.15	160K
\$29.85	60K	\$30.20	50K
\$29.80	180K	\$30.25	60K
<i>\$29.75</i>	<i>34K</i>	<i>\$30.30</i>	<i>50K</i>
<i>\$29.70</i>	<i>100K</i>	<i>\$30.35</i>	<i>40K</i>
<i>\$29.65</i>	<i>150K</i>	<i>\$30.40</i>	<i>45K</i>
<i>\$29.60</i>	<i>18K</i>	<i>\$30.45</i>	<i>325K</i>

Enhanced Limit Order: to buy 430K @\$30.25

Table 2 (b): After Execution

Price		Price	
Price	Volume	Price	Volume
\$30.25	10	\$30.30	50
\$30.20	–	\$30.35	40
\$30.15	–	\$30.40	45
\$30.10	–	\$30.45	325

	\$30.05	–	\$30.50	20
	\$30.00	100	\$30.55	30
	\$29.95	90	\$30.60	50
	\$29.90	80	\$30.65	60
	\$29.85	60	\$30.70	70
	Trade executed 80K@ \$30.05 70K@ \$30.10 160K@ \$30.15 50K@ \$30.20 60K@ \$30.25			
	Unfilled 10K@ \$30.25 as limit order			
S	Special Limit Order (SLO) A limit price has to be input for SLO but there is no restriction on the limit price with respect to the best price on the other side of the market. SLO will match up to five price queues (i.e. the best price queue and up to the fifth queue at 4 spreads away) as long as the traded price is not worse than the input limit price. Any unfilled quantity of SLO after matching will be cancelled and not stored in the System. The number of price queues allowed for matching can also be increased in future if necessary.			
	Example 3: Special Limit Order (SLO) Table 3 (a): Original Position			
	Bid		Ask	

Price	Volume	Price	Volume
\$30.00	100K	\$30.05	80K
\$29.95	90K	\$30.10	70K
\$29.90	80K	\$30.15	160K
\$29.85	60K	\$30.20	50K
\$29.80	180K	\$30.25	60K
\$29.75	34K	\$30.30	50K
\$29.70	100K	\$30.35	40K
\$29.65	150K	\$30.40	45K
\$29.60	20K	\$30.45	325K

Special Limit Order: to buy 430K@ \$30.40

Table 3 (b): After Execution

Bid		Ask	
Price	Volume	Price	Volume
\$30.00	100K	\$30.30	50K
\$29.95	90K	\$30.35	40K
\$29.90	80K	\$30.40	45K
\$29.85	60K	\$30.45	325K
\$29.80	180K	\$30.50	20K
\$29.75	34K	\$30.55	30K
\$29.70	100K	\$30.60	50K
\$29.65	150K	\$30.65	60K
\$29.60	20K	\$30.70	70K

Trade executed 80K@ \$30.05
 70K@ \$30.10
 160K@ \$30.15
 50K@ \$30.20
 60K@ \$30.25

Unfilled quantity 10K@ Cancelled not stored in the System

I

At Auction Limit Order

It is a limit order with a specified price for single price auction during pre-open session. Unfilled at-auction limit orders, with input price not deviating 9 times or more from the prevailing nominal price, will be converted to limit orders at the input limit price and carried forward to the continuous trading session.

	<p>The order input period for At-Auction Limit orders is 9:00 a.m. - 9:15a.m.</p> <p>Any At-Auction Limit order input during pre-order matching period (9:15a.m. - 9:20a.m.), order matching period (9:20a.m. - 9:28a.m.) and locking period (9:28a.m. - 9:30a.m.) will be subject to rejection.</p> <p>At-Auction Limit orders input out of the pre-opening session will be treated as orders of next pre-open session unless it was cancelled by investor and broker at their own discretion.</p> <p>For further details on placing At-Auction Limit orders, please contact your broker.</p>
A	<p>At Auction Order</p> <p>This is a market order which can only be inputted for single price auction during the pre-open session. There is no need to specify the limit price and it will enjoy a higher auction matching priority. Unfilled at-auction orders will be cancelled after auction matching.</p> <p>The order input period for At-Auction orders is 9:00a.m. - 9:20 a.m.</p> <p>Any At-Auction order input during order matching period (9:20a.m. - 9:28a.m.) and blocking period (9:28a.m. - 9:30a.m.) will be subject to rejection.</p> <p>At-Auction orders input out of the pre-opening session will be treated as orders of next pre-open session unless it was cancelled by investor and broker at their own discretion.</p> <p>For further details on placing At-Auction orders, please contact your broker.</p>

* The above information is for reference only and subject to further changes. Please visit HKEx (<http://www.hkex.com.hk>) for more details.

9.1 What is the pre-opening session?

The pre-opening session consists of an order input period from 9:00 am to 9:15 am; a pre-order matching period from 9:15 am to 9:20 am; an order matching period from 9:20 am to 9:28 am; and a blocking period from 9:28 am to 9:30 am.

During the order input period (9:00 am to 9:15 am), only at-auction orders and at-auction limit orders are accepted. Orders will be accumulated and updated in the trading system continuously and may be modified or cancelled.

During the pre-order matching period (9:15 am to 9:20 am), only at-auction orders are accepted and modification or cancellation of orders in the system will not take place.

-- End --