

Fast Interface for New Issuance (FINI)

User Guide for HKSCC Participants



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Versions

Publication Date	Version
27 September 2023 [Current]	Update schedule on Allocation Confirmed <ul style="list-style-type: none"> Section 3 IPO timetable on page 8 &10 Section 5 EIPO Allotment available time on page 79
16 June 2023	Further clarification on EIPO Full Name (English) field, additional validation check on Chinese ID number and update on new listing category <ul style="list-style-type: none"> Section 5 IPO Reference Data, page 35 Section 5 EIPO Subscription (Downsize), page 72 Section 6 Data Specifications - EIPO Bulk Upload File, page v, vi Section 6 Data Specifications - EIPO Bulk Upload File, page xi, xii Section 6 Data Specifications - Public IPO Reference Data Report – page xxiv Section 6 Data Specifications - EIPO Allotment Report, page xxxviii
21 April 2023	Further clarification on report section <ul style="list-style-type: none"> Section 6 Data Specifications, page xi, xxxix, xl
28 February 2023	Further clarifications and update on sample file <ul style="list-style-type: none"> Section 6 Data Specifications, page xxxi, xxxiv, xxxvii, xxxix, xl
20 January 2023	Further clarifications and update on timetable <ul style="list-style-type: none"> Section 3 IPO Workflow, page 8 and page 10
25 November 2022	First version published as part of market readiness update.

NOTE

This user guide has been published to help prospective users become familiar with the features of the FINI system. This user guide will take effect only upon the launch date of FINI, which is expected in the summer of 2023 and will be announced by HKEX closer to the time. The final published version of the user guide may differ from this version, and prospective users are advised to refer to the latest release before using the system.

DISCLAIMER

HKEX and/or its subsidiaries have endeavoured to ensure the accuracy and reliability of the information provided in this document, but 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 inaccuracy or omission or from any decision, action or non-action based on or in reliance upon information contained in this document.

1. Introduction

✕ What is FINI?

“FINI” (*Fast Interface for New Issuance*) is an online platform operated by HKSCC that is mandatory for admission to trading and, where applicable, the collection and processing of specified information on subscription in and settlement for all New Listings¹.

FINI allows relevant market participants and authorities to interact digitally and seamlessly on the many important steps that comprise the end-to-end settlement process for the New Listings. Leveraging modern and user-friendly interfaces with common workflow logic and data standards, the use of FINI allows IPOs to start trading on the Exchange as soon as, two business days after pricing (“T+2”).

This guide is written for HKSCC Participants, who will use FINI to input and manage public offer subscriptions on behalf of their clients. For users who are seeking further information on public offer securities settlement under FINI should refer to the FINI User Guide for HKSCC Participants.

The FINI User Guides consists of the following documents:

Documents	FINI user categories
User Guide for HKSCC Participants [Current document]	<ul style="list-style-type: none"> ▪ HKSCC Participant (“CP”)
User Guide for FINI Banks	<ul style="list-style-type: none"> ▪ EIPO Designated Bank of CPs (“DB”) ▪ Receiving Bank of IPO Issuers (“RB”)
User Guide for Sponsors, Intermediaries and Legal Advisers	<ul style="list-style-type: none"> ▪ Designated Sponsor ▪ Other Sponsor ▪ Sponsor Counsel ▪ Issuer Counsel ▪ Designated Overall Coordinator (“DOC”) ▪ Other Overall Coordinator ▪ Distributor
API Guide	<ul style="list-style-type: none"> ▪ All user categories above [IPO Reference Data] ▪ HKSCC Participant (“CP”) [EIPO Subscription] ▪ EIPO Designated Bank of CPs (“DB”) [EIPO Funding]
Access Management User Guide	<ul style="list-style-type: none"> ▪ All FINI user categories

¹ FINI will initially support the new listings of equity securities, depositary receipts, stapled securities, and REITs, and trading resumption offerings on SEHK, including: (i) primary listings; (ii) dual-primary listings; (iii) secondary listings; (iv) RTOs; (v) listings by way of introduction; and (vi) transfers from GEM to the Main Board. FINI will also support post-listing public offers.

Further Information

For further information, such as other training materials, latest market readiness updates and the API User Guide, please visit: <https://www.hkex.com.hk/fini>



2. Getting Started

✕ On-boarding

To be on-boarded as an **HKSCC Participant** user company on the FINI platform, each firm must complete an [Online FINI Registration Form](#) (“Registration Form”) and assign administrator(s) (“**Delegated Administrators**”) for the creation and managing of individual FINI user accounts in the HKEX Access Management Portal.

Further information is available on *FAQs C1 to C2* of the *FINI Information Pack*. The specific eligibility and documentation requirements are also available in the Registration Form.

If you wish to terminate any of the user type(s) registered under your firm or the use of FINI, please send us your request to cs_cps_cc@hkex.com.hk.

✕ User Profile Setup

To access the FINI platform, the user company’s Delegated Administrator(s) (DAs) must use the HKEX Access Management Portal’s **MANAGE ACCESS RIGHTS** function to create FINI individual users (who may also be grouped by FINI user teams) or machine users.

Further information on the creation, maintenance and management of FINI individual / machine users and FINI user teams is available in the *HKEX Access Management User Guide*.

Functional Roles

Delegated Administrators (“DAs”) may create two different categories of users: **EU_finiCPOps** and **EU_finiCPEnq**. Each user may also be assigned **maker**, **checker** and/or **enquiry** roles during creation.

User categories determine a user’s access to user interfaces, and roles determine a user’s access to user functions within a user interface (see table below).

User Interface	EU_finiCPOps			EU_finiCPEnq		
	Maker	Checker	Enquiry	Maker	Checker	Enquiry
EIPO Management	✓	✓	✓			
Submit / withdraw request to amend POrax Opt-in Status	✓					
Reject / approve request to amend POrax Opt-in Status		✓				
Audit Log	✓	✓	✓			
Download CP EIPO Management Audit Log	✓	✓	✓			
Download CP EIPO Subscription Audit Log	✓	✓	✓			
Dashboard (w/ subscription statistics)	✓	✓	✓	✓	✓	✓
IPO Reference Data	✓	✓	✓	✓	✓	✓
Download Public IPO Reference Data Report	✓	✓	✓	✓	✓	✓
EIPO Subscription	✓	✓	✓			
Create / delete / edit / submit / withdraw EIPO instruction(s)	✓					
Revert / authorise EIPO instruction(s)		✓				
Download EIPO Subscription Report (Pending)	✓	✓	✓			
Download EIPO Subscription Report (Authorised)	✓	✓	✓			
Download EIPO Subscription Report (Invalidated)	✓	✓	✓			
EIPO Funding	✓	✓	✓			
EIPO Allotment	✓	✓	✓			
Download EIPO Allotment Report	✓	✓	✓			

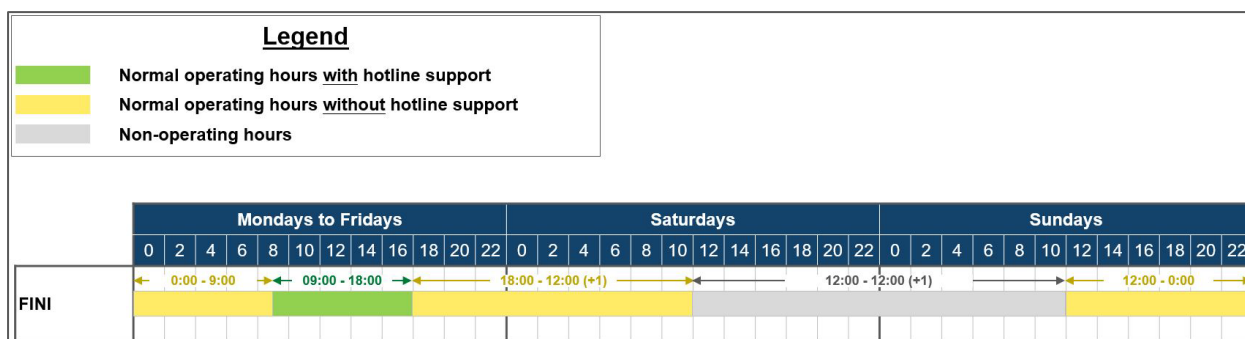
System Availability

The FINI platform is accessible via the open internet at all times, with the exception of regular maintenance during the following periods:

- 12:00 to 23:59, Saturdays
- 00:00 to 12:00, Sundays

With the exception of the regular maintenance periods mentioned above, the FINI platform will remain accessible during Public Holidays. Any further scheduled ad-hoc maintenance work will be communicated to users in advance.

Users may contact +852 2979 7111 or email to ClearingPS@hkex.com.hk for any general enquiries.



⚠ The hotline support window is different from the FINI platform’s operating hours. Hotline support will be provided from 09:00 to 18:00 Monday to Friday, except public holidays.

⚠ FINI users should be aware that the FINI platform is only accessible via the open internet. If a user company has internet connectivity issues within its corporate network, they may find an alternative location with an open internet connection to continue accessing the FINI platform.

3. IPO Workflow

IPO Timetable and System Statuses

Unless a waiver is granted by regulators, each IPO case will operate under one out of two standardised timetables:

#	Type	Offering type	Processing Period
1	Listing with a public offer	Global Offer (Placing and Public Offer)	8 business days, (i.e. the T+2 Timetable), from "Initiation of the offering" to "Start of Trading"
		By Public Offer Only	
2	Listing without a public offer	By Placing Only	5 business days, from "Initiation of the offering" to "Start of Trading"
		By Introduction	
		Transfer from GEM	

Every IPO case is operated through a sequence of IPO statuses that define the functional permissions of each FINI User, starting at **"Deal Initiated"** and ending in either **"Trading Started"** (successful) or **"Cancelled"** (unsuccessful).

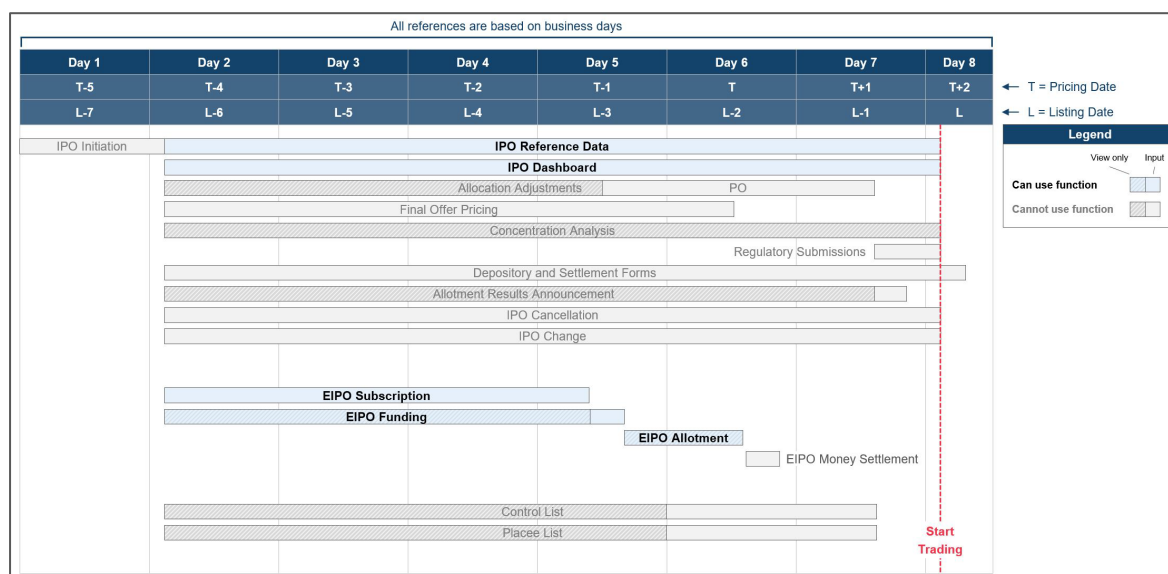
#	IPO Status
1	Deal Initiated
2	Public Offer Closed
3	Applications Validated
4	Allotment Confirmed
5	Money Settlement
6	Allocation Confirmed
7	Placing Approved
8	Allotment Results Approved
9	Trading Started
10	Suspended
11	Cancelled

If a critical step is not completed before the required deadline, an IPO case would enter "Suspended" (see [Exceptions](#) for further information).

The exact sequence depends on the IPO case's offering type.

Global Offer (Placing and Public Offer)

High-level summary:



A "Global Offer" IPO case involves both a "Public Offer" and an "International Offer". The IPO case starts with the public offer's subscription period, followed by a funding confirmation process to determine the public offer's oversubscription levels.

The IPO case's Overall Coordinators are then responsible for deciding the final allocations between both tranches and the final offer price. Following the offer size confirmations, intermediaries are responsible for submitting their placee information and the sponsors are responsible for submitting an allotment results announcement for regulatory approval.

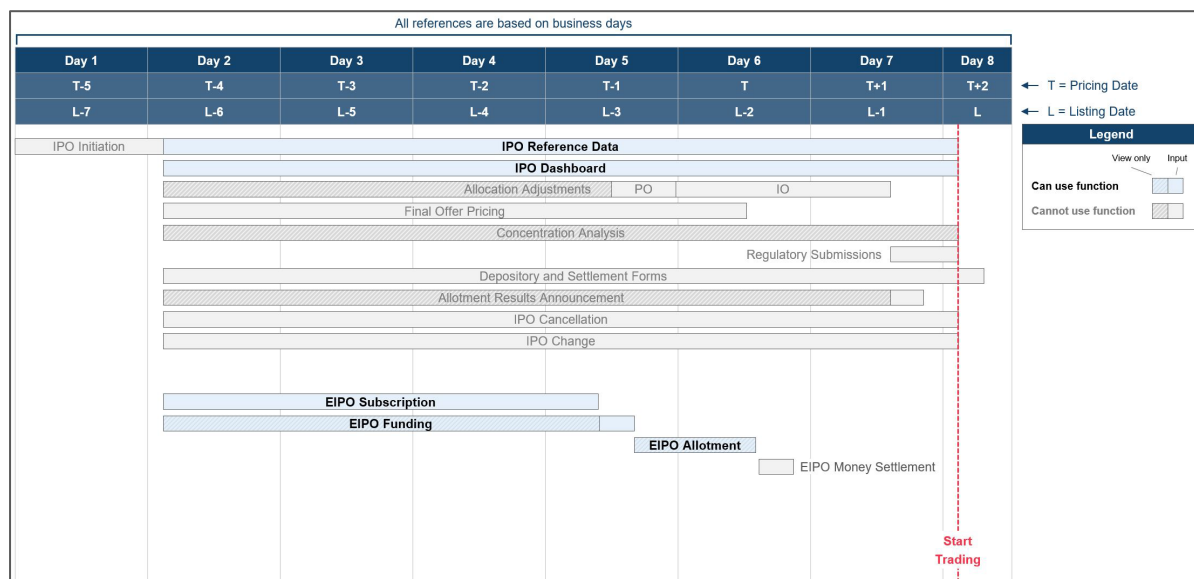
#	IPO Status ▼	Description	Schedule
1	Deal Initiated	The IPO case has been officially broadcasted to all market participants and is open for public offer subscriptions	09:00, T-4 / L-6
2	Public Offer Closed	The IPO case has closed for public offer subscriptions and is undergoing the public offer funding confirmation process	12:00, T-1 / L-3
		The prefunding confirmation process commences	No later than 12:30, T-1 / L-3
3	Applications Validated	The IPO case has completed the public offer funding confirmation process and is undergoing offer size confirmation / public offer balloting	No later than 17:30, T-1 / L-3
4	Allotment Confirmed	The IPO case has received the preliminary public offer balloting results and is awaiting the start of the money settlement process	Shortly after 12:00, T / L-2
5	Money Settlement	The IPO case has received the preliminary public offer balloting results and final offer price and is undergoing the money settlement process	No later than 12:30, T / L-2
6	Allocation Confirmed	The IPO case has completed the money settlement process and is awaiting regulatory approval of the international placing	No later than 18:00, T / L-2
7	Placing Approved	The IPO case has received regulatory approval of the international placing and is awaiting regulatory approval of the allotment results announcement	No later than 17:00, T+1 / L-1
8	Allotment Results Approved	The IPO case has received regulatory approval of the allotment results announcement and is expected to commence trading on the stock exchange	No later than 23:00, T+1 / L-1
9	Trading Started	The IPO case has successfully completed all settlement procedures and has started trading on the stock exchange	09:00, T+2 / L

Access permissions:

#	User function	Viewing permissions	Input permissions
1	Dashboard	Accessible " Deal Initiated " onwards to view summary statistics and notifications of the IPO case	[None]
2	IPO Reference Data	Accessible " Deal Initiated " onwards to view the IPO case's reference data	[None]
3	EIPO Subscription	Accessible " Deal Initiated " onwards to view the HKSCC Participant's own subscription list	Add, amend or invalidate the HKSCC Participant's own subscriptions during " Deal Initiated "
4	EIPO Funding	Accessible " Deal Initiated " onwards to view the HKSCC Participant's own pre-funding requirement and bank account information (finalised at " Public Offer Closed ")	[None]
5	EIPO Subscription (Downsize)	Accessible during " Public Offer Closed ", if the HKSCC Participant's pre-funding requirement has been rejected by its EIPO Designated Bank	Downsize or invalidate the HKSCC Participant's own subscriptions (during " Public Offer Closed " only) following a pre-funding rejection by its EIPO Designated Bank
6	EIPO Allotment	Accessible " Allocation Confirmed " onwards to view the HKSCC Participant's finalised allotment results and the unsuccessful reasons for any unallotted subscriptions	[None]

By Public Offer Only

High-level summary:



A **"By Public Offer Only"** IPO case involves only a "Public Offer". The IPO case starts with the public offer's subscription period, followed by a funding confirmation process to determine the public offer's oversubscription levels.

The IPO case's Overall Coordinators are then responsible for confirming the final public offer size and the final offer price. Following the offer size confirmations, the sponsors are responsible for submitting an allotment results announcement for regulatory approval.

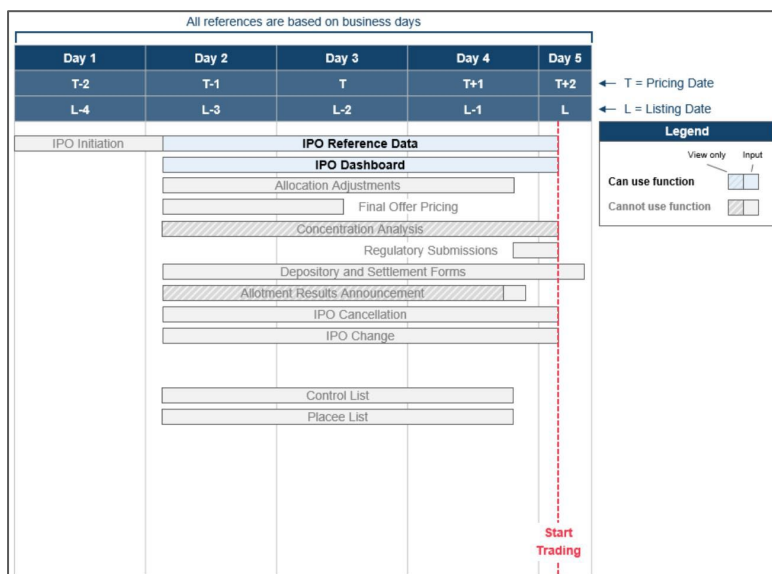
#	IPO Status ▼	Description	Schedule
1	Deal Initiated	The IPO case has been officially broadcasted to all market participants and is open for public offer subscriptions	09:00, T-4 / L-6
2	Public Offer Closed	The IPO case has closed for public offer subscriptions and is undergoing the public offer funding confirmation process	12:00, T-1 / L-3
		The prefunding confirmation process commences	No later than 12:30, T-1 / L-3
3	Applications Validated	The IPO case has completed the public offer funding confirmation process and is undergoing offer size confirmation / public offer balloting	No later than 17:30, T-1 / L-3
4	Allotment Confirmed	The IPO case has received the preliminary public offer balloting results and is awaiting the start of the money settlement process	Shortly after 12:00, T / L-2
5	Money Settlement	The IPO case has received the preliminary public offer balloting results and final offer price and is undergoing the money settlement process	No later than 12:30, T / L-2
6	Allocation Confirmed	The IPO case has completed the money settlement process and is awaiting regulatory approval of the allotment results announcement	No later than 18:00, T / L-2
7	Allotment Results Approved	The IPO case has received regulatory approval of the allotment results announcement and is expected to commence trading on the stock exchange	No later than 23:00, T+1 / L-1
8	Trading Started	The IPO case has successfully completed all settlement procedures and has started trading on the stock exchange	09:00, T+2 / L

Access permissions:

#	User function	Viewing permissions	Input permissions
1	Dashboard	Accessible " Deal Initiated " onwards to view summary statistics and notifications of the IPO case	[None]
2	IPO Reference Data	Accessible " Deal Initiated " onwards to view the IPO case's reference data	[None]
3	EIPO Subscription	Accessible " Deal Initiated " onwards to view the HKSCC Participant's own subscription list	Add, amend or invalidate the HKSCC Participant's own subscriptions during " Deal Initiated "
4	EIPO Funding	Accessible " Deal Initiated " onwards to view the HKSCC Participant's own pre-funding requirement and bank account information (finalised at " Public Offer Closed ")	[None]
5	EIPO Subscription (Downsize)	Accessible during " Public Offer Closed ", if the HKSCC Participant's pre-funding requirement has been rejected by its EIPO Designated Bank	Downsize or invalidate the HKSCC Participant's own subscriptions following a pre-funding rejection by its EIPO Designated Bank (during " Public Offer Closed " only)
6	EIPO Allotment	Accessible " Allocation Confirmed " onwards to view the HKSCC Participant's finalised allotment results and the unsuccessful reasons for any unallotted subscriptions	[None]

By Placing Only

High-level summary:



A **"By Placing Only"** IPO case involves only an "International Offer". The case starts with the IPO case's Overall Coordinators deciding the final offer size and offer price.

Following the offer size confirmations, intermediaries are responsible for submitting their placee information and the sponsors are responsible for submitting an allotment results announcement for regulatory approval.

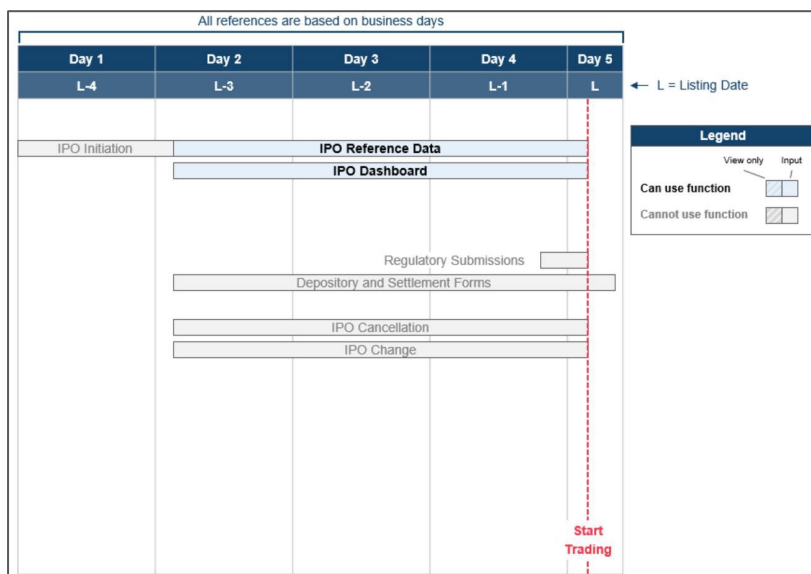
#	IPO Status ▼	Description	Schedule
1	Deal Initiated	The IPO case has been officially broadcasted to all market participants	09:00, T / L-3
2	Placing Approved	The IPO case has received regulatory approval of the international placing and is awaiting regulatory approval of the allotment results announcement	No later than 17:00, T+1 / L-1
3	Allotment Results Approved	The IPO case has received regulatory approval of the allotment results announcement and is expected to commence trading on the stock exchange	No later than 23:00, T+1 / L-1
4	Trading Started	The IPO case has successfully completed all settlement procedures and has started trading on the stock exchange	09:00, T+2 / L

Access permissions:

#	User function	Viewing permissions	Input permissions
1	Dashboard	Accessible "Deal Initiated" onwards to view summary statistics and notifications of the IPO case	[None]
2	IPO Reference Data	Accessible "Deal Initiated" onwards to view the IPO case's reference data	[None]

By Introduction

High-level summary:



A "By Introduction" IPO case does not involve the sale or issuance of any securities. The IPO case's advisers are simply required to submit the required legal undertakings and share depository information to complete the settlement procedures.

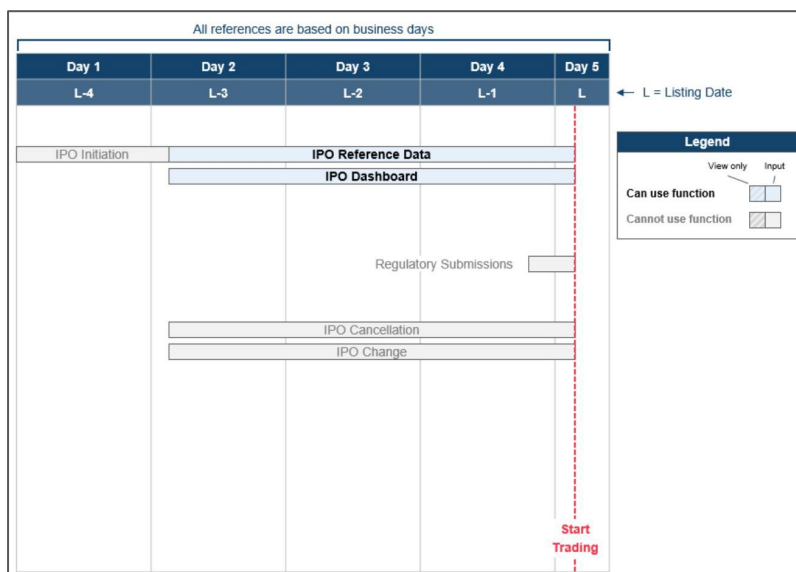
#	IPO Status ▼	Description	Schedule
1	Deal Initiated	The IPO case has been officially broadcasted to all market participants	09:00, L-3
2	Trading Started	The IPO case has successfully completed all settlement procedures and has started trading on the stock exchange	09:00, L

Access permissions:

#	User function	Viewing permissions	Input permissions
1	Dashboard	Accessible "Deal Initiated" onwards to view summary statistics and notifications of the IPO case	[None]
2	IPO Reference Data	Accessible "Deal Initiated" onwards to view the IPO case's reference data	[None]

Transfer from GEM

High-level summary:



A **"Transfer from GEM"** IPO case does not involve the sale or issuance of any securities. The IPO case's advisers are simply required to submit the required legal undertakings to complete the settlement procedures.

#	IPO Status ▼	Description	Schedule
1	Deal Initiated	The IPO case has been officially broadcasted to all market participants	09:00, L-3
2	Trading Started	The IPO case has successfully completed all settlement procedures and has started trading on the stock exchange	09:00, L

Access permissions:

#	User function	Viewing permissions	Input permissions
1	Dashboard	Accessible "Deal Initiated" onwards to view summary statistics and notifications of the IPO case	[None]
2	IPO Reference Data	Accessible "Deal Initiated" onwards to view the IPO case's reference data	[None]

Exceptions


If a critical step within the IPO settlement process is not completed by the system deadline (e.g. the offer price has not been finalised by the Expected Price Determination Deadline), the IPO case's status will change to "Suspended".

Once an IPO reaches "Suspended", all downstream system tasks will be halted. Users may continue to access existing user interfaces to view the latest information snapshots, but not operate any user functions related to the affected IPO case.

Under this scenario, the exception can be resolved in two methods:


- (1) The Designated Sponsor uses an **"IPO Change"** function to extend the IPO timetable and continue from the point at which IPO case was suspended. HKSCC Participants should be aware of the following particular scenarios:

IPO timetable extension occurs...		System handling
After	Before	
Public offer funding confirmation	Money settlement	The HKSCC Participant's subscription funds will continue to be held at the nominee bank account of its EIPO Designated Bank.
Money settlement	Commencement of trading	The HKSCC Participant's allotment funds will continue to be held at the issuer's receiving banks. The release of excess subscription funds will be determined based on the HKSCC Participant's arrangements with its EIPO Designated Bank.

 The Designated Sponsor may also use the IPO Change function to amend public offer parameters during the subscription period, which results in all EIPO subscriptions being moved from "Authorised" to "Interim" (see [EIPO Subscription](#) on the workflow statuses).

- (2) The Designated Sponsor uses an **"IPO Cancellation"** function, which permanently ends all of the IPO case's downstream tasks and unwinds any required procedures. HKSCC Participants should be aware of the following particular scenarios:

IPO cancellation occurs...		System handling
After	Before	
Public offer funding confirmation	Money settlement	The HKSCC Participant's subscription funds will continue to be held at the nominee bank account of its EIPO Designated Bank. The refund process will be determined based on the HKSCC Participant's arrangements with its EIPO Designated Bank.
Money settlement	Commencement of trading	HKSCC will issue instruction(s) to the issuer's receiving bank(s) to directly refund the HKSCC Participant's allotment funds back to its designated bank account. If the HKSCC Participant has already received the allotted securities in CCASS, HKSCC will unwind the procedure by debiting the same number of securities from the HKSCC Participant's Entitlement Account (Stock Segregated Account 02).


 The refunds will always be issued to the HKSCC Participant's latest designated bank account recorded within CCASS as at 08:30 of the refunding date.

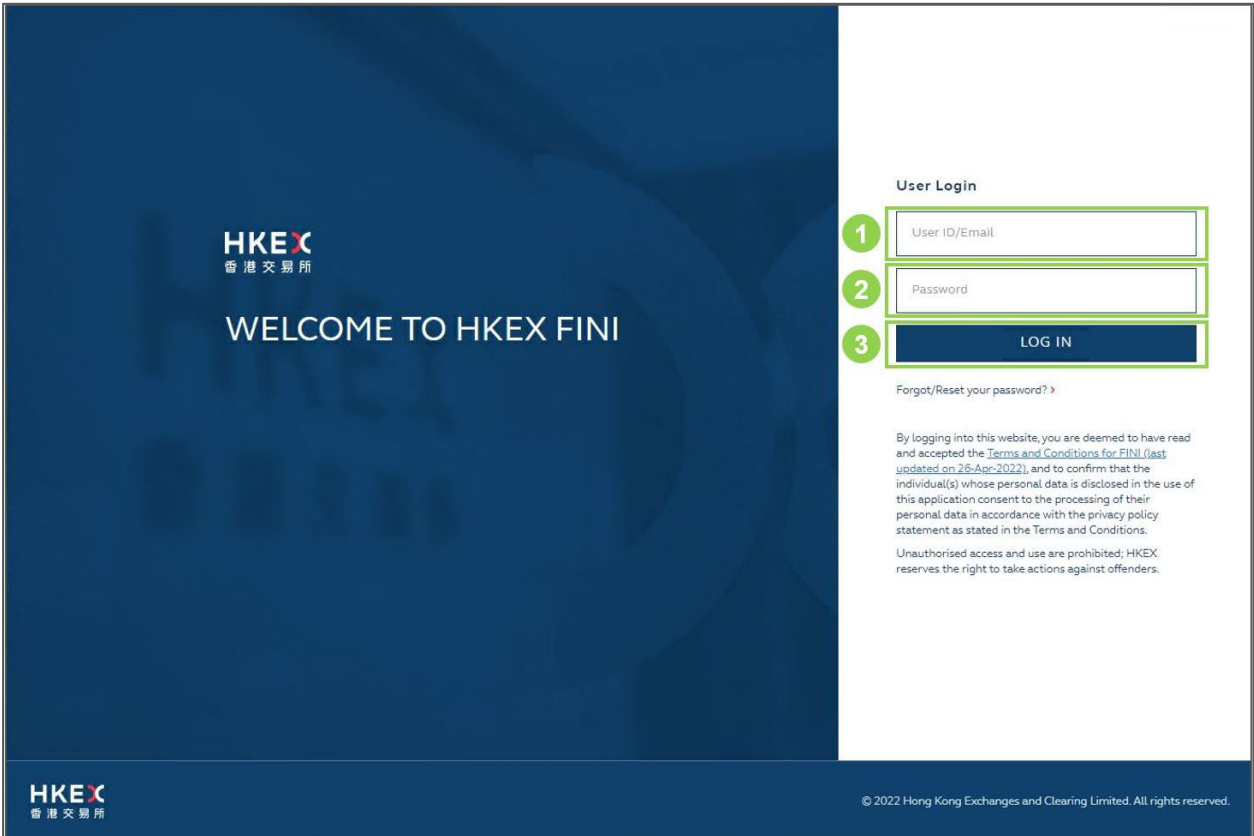
4. Access and Configuration Guide

Login

Once the relevant FINI user accounts have been set up (see [User Profile Setup](#)), individual users may log onto the FINI platform by following the steps below:

1. Visit <https://fini.hkex.com.hk> using a web browser (HKEX officially supports Google Chrome, Microsoft Edge and Apple Safari).
2. Input **1 User ID/Email** (user's registered email address) > Input **2 Password** (user's registered password) > Press **3 LOG IN**.

 For further information on resetting user passwords, please refer to Appendix 3 of the HKEX Access Management User Guide.



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WELCOME TO HKEX FINI

User Login

- 1 User ID/Email
- 2 Password
- 3 LOG IN

[Forgot/Reset your password? >](#)

By logging into this website, you are deemed to have read and accepted the [Terms and Conditions for FINI \(last updated on 28-Apr-2022\)](#), and to confirm that the individual(s) whose personal data is disclosed in the use of this application consent to the processing of their personal data in accordance with the privacy policy statement as stated in the Terms and Conditions.

Unauthorised access and use are prohibited; HKEX reserves the right to take actions against offenders.

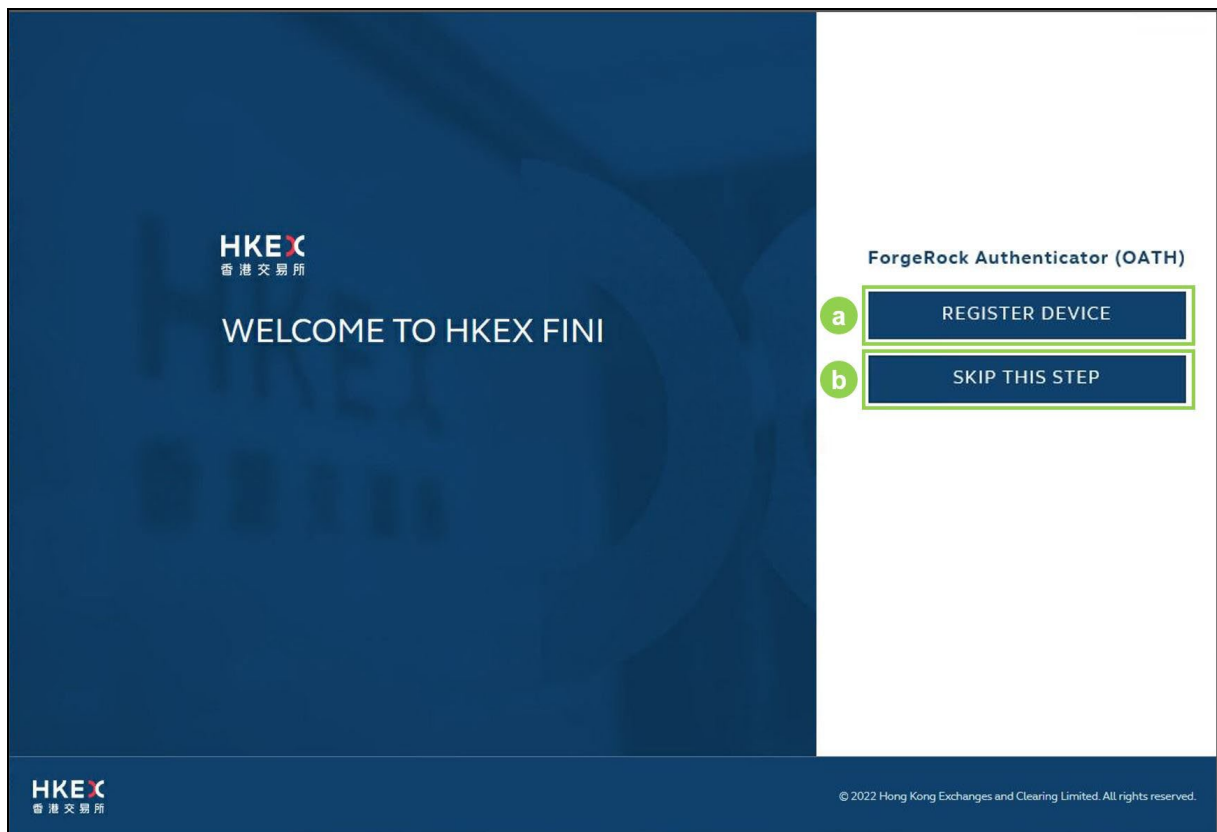
HKEX
香港交易所

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3. After inputting a correct **User ID/Email** and **Password**, select the One-Time Password (OTP) authentication method of choice:



⚠ This is a one-off selection. Any subsequent logins will be based on the user's chosen one-time password generation method and users will be able to amend their choice. Please refer to Appendix 3 of HKEX Access Management User Guide for details.

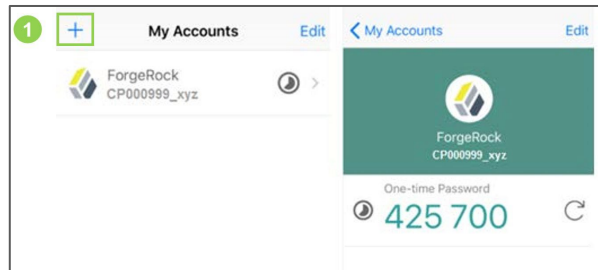
- a. **REGISTER DEVICE**: To log in using an OTP generator (see **Step 4.**)
- b. **SKIP THIS STEP**: To log in by receiving an OTP by email (see **Step 5.**)




4. If **REGISTER DEVICE** is chosen (see **Step 3.**): open **ForgeRock Authenticator** > Select **1 +** > Scan **2 QR Code** on mobile phone > Select **3 LOGIN USING VERIFICATION CODE** > Input **4 OTP** (from ForgeRock Authenticator) > Press **5 SUBMIT OTP**

⚠ The **ForgeRock Authenticator** app must be used for OTP generation:

	Google Play	(Android devices)
	App Store	(iOS devices)






WELCOME TO HKEX FINI

Register A Device

Scan the barcode image below with the ForgeRock Authenticator App. Once registered click the button to enter your verification code and login.



ON A MOBILE DEVICE?

LOGIN USING VERIFICATION CODE



WELCOME TO HKEX FINI

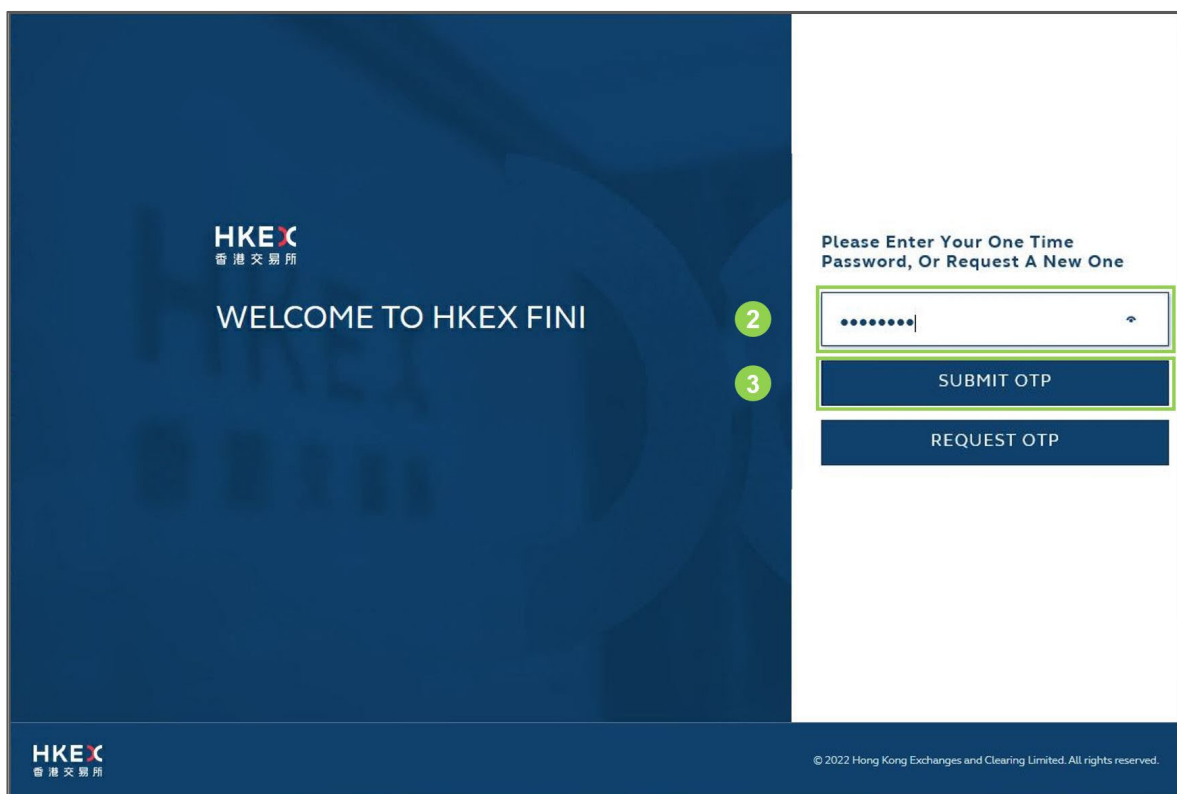
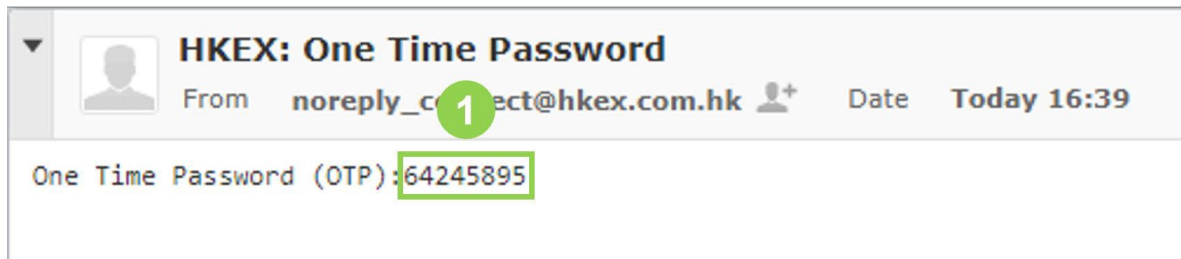
Please Enter Your One Time Password, Or Request A New One

SUBMIT OTP

REQUEST OTP


5. If **SKIP THIS STEP** is chosen (see **Step 3.**): Retrieve **1** **OTP** from email > Input **2** **OTP** > Press **3** **SUBMIT OTP**

⚠ The OTP will be sent to the email address registered under the User ID.



⚠ The FINI platform is also accessible from the homepage of HKEX Access Management Portal (<https://connect.hkex.com.hk/>). The button can be found at the bottom of the menu dashboard.

Upon successful login, the FINI link can be found at the bottom of the menu dashboard:



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eServices

Post Trade

- Clearing
- Settlement & Depository
- Participation Management
- Technical Setup

Market Data

- Connectivity
- Application

Derivatives Trading

- Operations

Cash Trading

- Participation
- Operations
- Trade Error Reporting


Support

- Manage Access Rights
- eServices Reporting
- ECP
- Synapse
- FINI**

Welcome, am1

Last Login:

01-Aug-2022



28°

Tasks

Notifications

Events

History

Classification	Company Participant ID	Details
No Data		

HKEX CALENDAR


AUGUST 2022

Sun	Mon	Tue	Wed	Thu	Fri	Sat
31	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31	1	2	3

Download Calendar

WHAT'S ON

Happenings Projects Focus



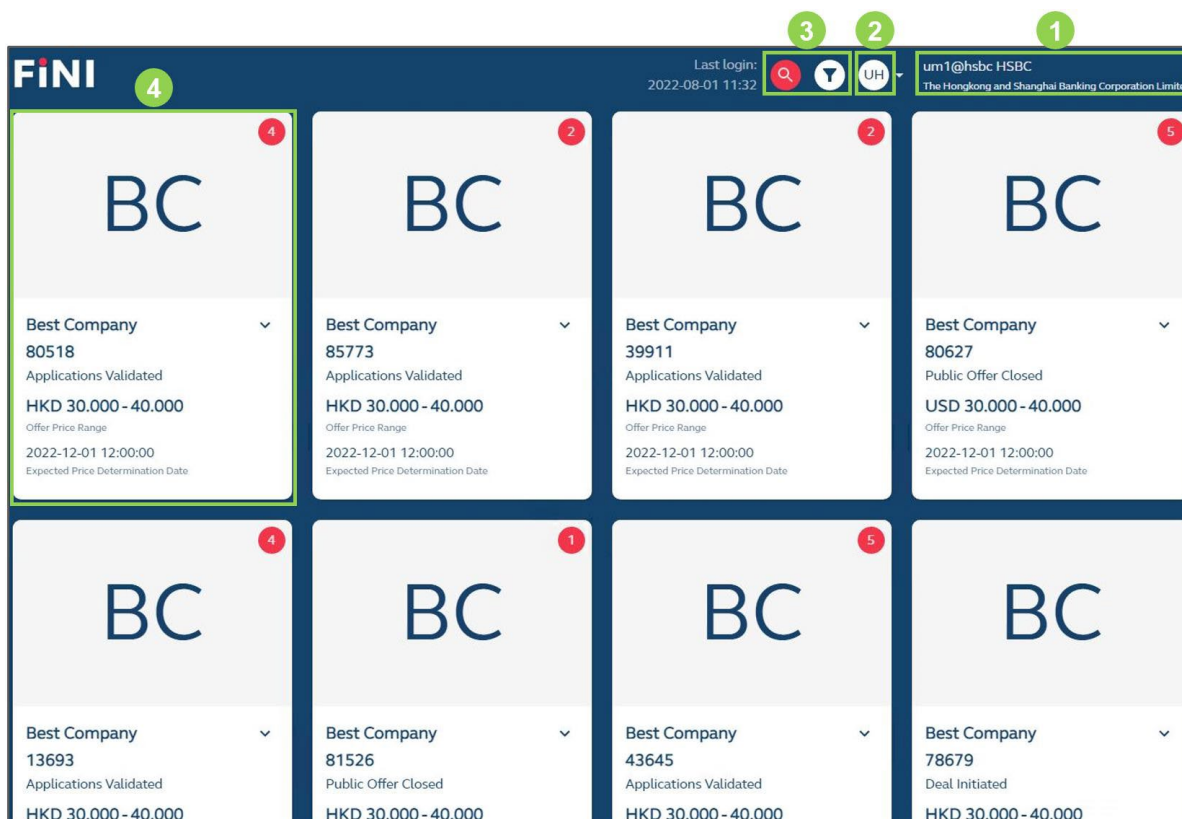
Seminar on Application of Stock Options and Stock Futures under Volatile

Friday, 31 May 2019 17:00-18:00 HKT

HKEX Connect Hall, 1/F, One & Two Exchange Square, Central

Homepage

After accessing the FINI platform successfully, individual users will see the FINI Homepage:



The screenshot displays the FINI Homepage interface. At the top right, there is a user profile section (1) showing the user 'um1@hsbc HSBC' and the company 'The Hongkong and Shanghai Banking Corporation Limited'. Below this is a navigation menu (2) with icons for search, notifications, and user profile. A search bar (3) is located to the left of the menu. The main content area consists of a grid of IPO cases (4). Each case card displays 'BC' (Best Company), a company ID, the status of applications (e.g., 'Applications Validated', 'Public Offer Closed', 'Deal Initiated'), the offer price range (e.g., 'HKD 30.000 - 40.000', 'USD 30.000 - 40.000'), and the expected price determination date.

1 User Profile: Shows the user and company name

2 Menus: Allows the user to access the [EIPO Management](#), [Audit Log](#), [Notifications](#), [Settings](#) and Logout functions. This menu will also show list of other HKEX applications accessible by the user, e.g. HKEX Client Connect.

△ If the user belongs to multiple companies, the list of companies will also be made available within this menu for the user to switch between profiles.

3 Search / Filter: Allows the user to search and filter IPO Cases within the homepage:

- a. **Search:** Company Name (English Full) [**Default**], Company Name (English Short), Company Name (Chinese Full), Company Name (Chinese Short), Stock Code, or ISIN
- b. **Filter:** IPO Status, Trading Currency, Offering Type, Securities to be Listed, Re-launch, Listing Platform, or Listing Type

4 IPO Case: Displays a high level summary of the IPO Case. Clicking the IPO Case allows the user to enter the IPO to access and perform various functions through the [Dashboard \[landing page\]](#), [IPO Reference Data](#), [EIPO Subscription](#), [EIPO Funding](#), [EIPO Subscription \(Downsize\)](#), [EIPO Allotment](#) interfaces.

EIPO Management

The EIPO Management interface allows HKSCC Participants to:

- Configure their own **POmax Opt-in Status**
- View their own **FINI EIPO Enquire Only Status**

POmax Opt-in Status

Each HKSCC Participant may configure its own **POmax Opt-in Status**, which determines the method used to calculate the pre-funding requirement of its EIPO subscriptions within an IPO:

- If **POmax Opt-in Status = "Y"**, the pre-funding requirement would be $\min(\text{DCP}, \text{POmax})$
- If **POmax Opt-in Status = "N"**, the pre-funding requirement would be **DCP**

where:

DCP	The monetary value of the HKSCC Participant's EIPO subscriptions, calculated using the IPO's maximum offer price (fees inclusive)
POmax	The monetary value of the IPO's entire public offer tranche, if the highest tier of clawback set out in the prospectus was to be triggered and the IPO was priced at the maximum offer price (fees inclusive)

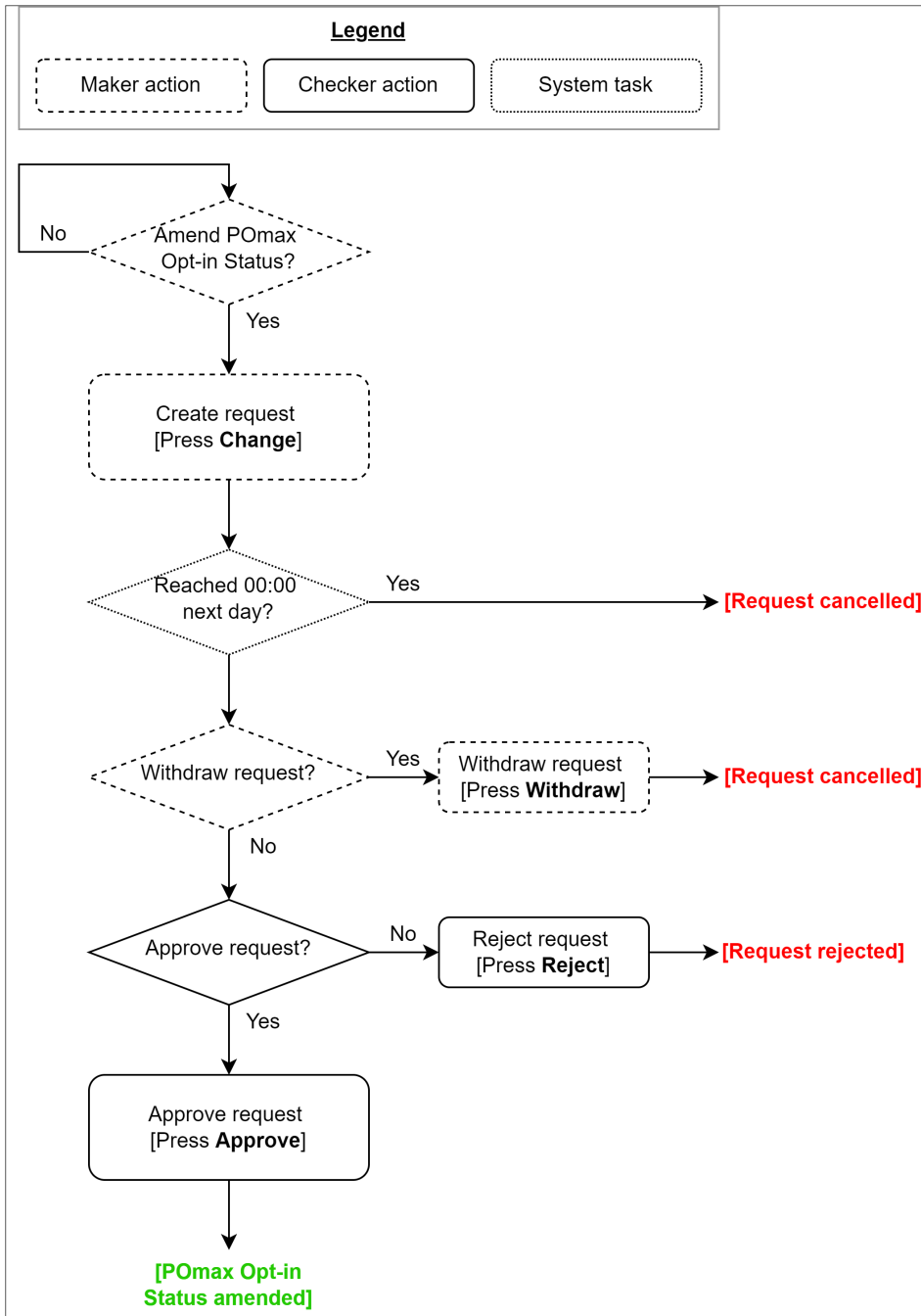
Each HKSCC Participant's POmax Opt-in Status within an IPO is locked upon the Public Offer Book Open (see below).

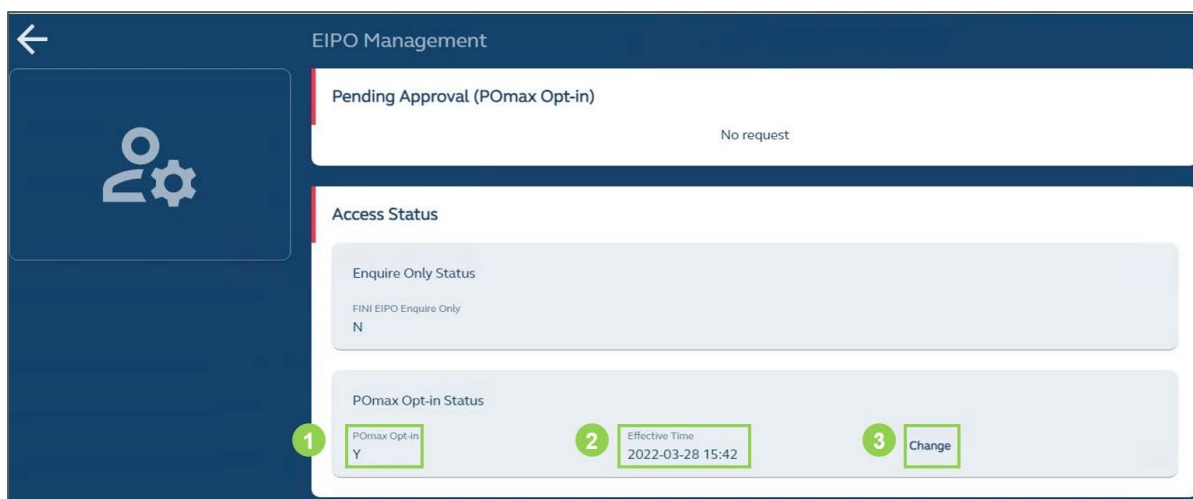
	Timing of amendment	
	Before Deal Initiated	After Deal Initiated
Amend status from "N" to "Y"	Pre-funding requirement based on POmax Opt-in Status = "Y"	Pre-funding requirement based on POmax Opt-in Status = "N"
Amend status from "Y" to "N"	Pre-funding requirement based on POmax Opt-in Status = "N"	Pre-funding requirement based on POmax Opt-in Status = "Y"

	Scenario					Outcome	
	Mon	Tue	Wed	Thu	Fri		
	22:30, Wed						
IPO A	PO Book Open			PO Book Close		Unaffected	POmax Opt-in Status was locked at 09:00, Mon
IPO B		PO Book Open			PO Book Close	Unaffected	POmax Opt-in Status was locked at 09:00, Tue
IPO C			PO Book Open			Unaffected	POmax Opt-in Status was locked at 09:00, Wed (only affected if change was made before 09:00)
IPO D				PO Book Open		Affected	Pre-funding requirement to become based on POmax Opt-in Status = "Y"
	Amend POmax Opt-in Status from "N" to "Y"						

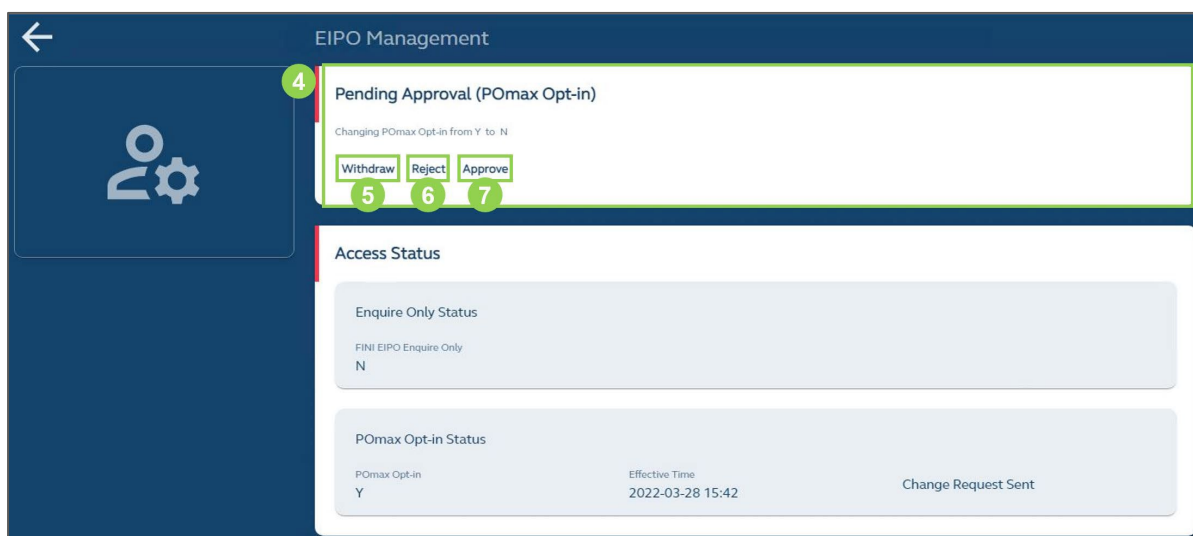
For further information and worked examples of POmax calculations, please refer to *FAQs E15 to E17* of the *FINI Information Pack*.

The POmax Opt-in Status may be amended via a maker-checker process:





- 1 POmax Opt-in:** Displays the company's effective POmax Opt-in Status.
- 2 Effective Time:** Displays a timestamp of when the company's POmax Opt-in Status was last updated.
- 3 Change** (only available to maker users): Allows a maker user to create a request to amend the company's POmax Opt-in Status.



- 4 Pending Approval (POmax Opt-in):** Displays any requests that are pending approval.

⚠ For each user company, only one request may be active at a time.

Any requests that are not approved by 00:00 of the next calendar day (00:00) will be cancelled. Once a request has been cancelled, a maker user may create a new request (see

- 3**).

5 Withdraw (only available to maker users): Allows a maker user to withdraw and cancel the request. Once a request has been withdrawn, a maker user may create a new request (see **3**).

6 Reject (only available to checker users): Allows a checker user to reject the request. Once a request has been rejected, a maker user may create a new request (see **3**).

7 Approve (only available to checker users): Allows a checker user to approve the request, which prompts the system to update the company's effective P0max Opt-in Status (see **1**). Once a request has been approved, a maker user may create a new request (see **3**).

FINI EIPO Enquire Only Status

The **FINI EIPO Enquire Only Status** determines whether an HKSCC Participant may operate add, amend or invalidate EIPO subscriptions.

The screenshot displays the 'EIPO Management' interface. On the left is a navigation menu with a gear icon and a circled '1'. The main content area is divided into two sections:

Access Status

- Enquire Only Status:** A dropdown menu showing 'FINI EIPO Enquire Only' and 'N'.
- POMax Opt-in Status:** A table with the following data:

POMax Opt-in	Effective Time	Change Request Sent
Y	2022-03-28 15:42	

Nominee Bank Account Information (HKD)

Currency	HKD	SWIFT BIC	HSBCHKHHHKH
HKAB Bank Code	004	Bank Name	THE HONGKONG AND SHANGHAI BANKING CORP. LTD
		Bank Branch Code	002
		Bank Account Number	112222399
Bank Account Name	Lily	Bank Account Address	Chaoyang District Beijing China
Debtor's Reference	QWERTYUASDpkkk		

Access Status

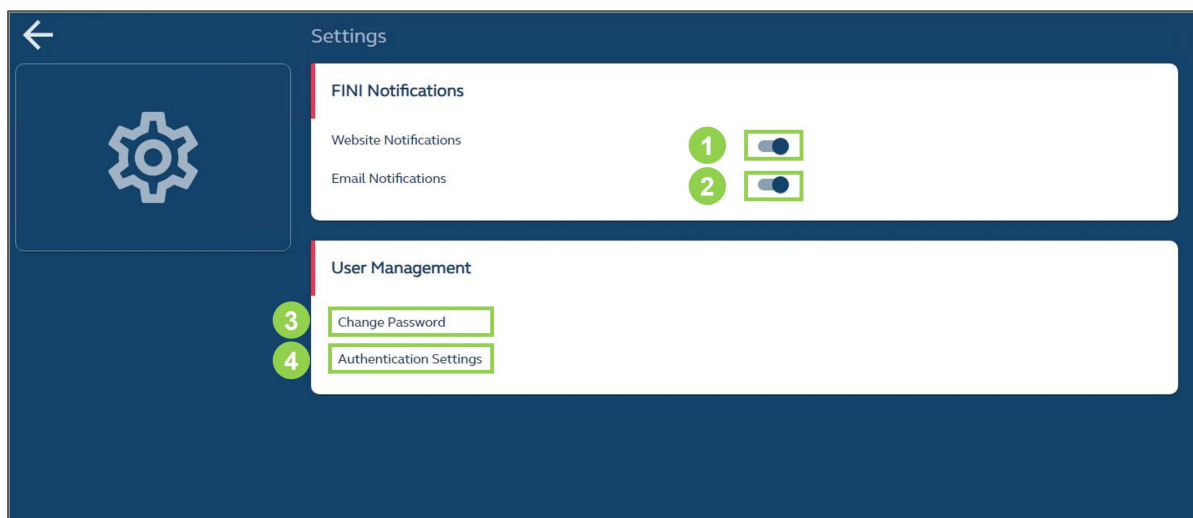
1 FINI EIPO Enquire Only:

- N** = the user's company can add, amend or invalidate EIPO subscriptions.
- Y** = the user's company cannot add, amend or invalidate EIPO subscriptions.

⚠ Switching from "N" to "Y" will not invalidate any prior subscriptions or allotments. The status also does not affect the viewing rights on any EIPO-related user interfaces.

Settings

The Settings interface allows HKSCC Participants to configure their preferences for receiving system notifications.



1 Website Notifications: Configures whether the user receives system notifications within the FINI platform user interfaces **[Default: Yes]**.

2 Email Notifications: Configures whether the user receives system notifications through email messages **[Default: Yes]**.

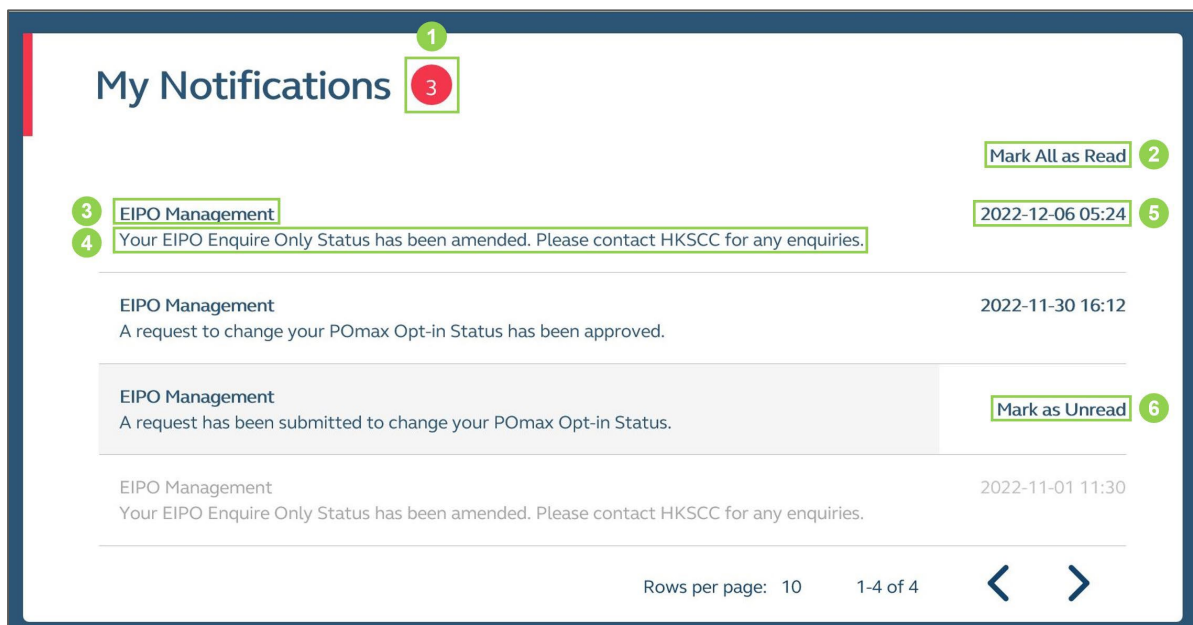
⚠ If both configurations are set to **“No”**, the user will not receive any system notifications.

3 Change Password: Redirects to HKEX Access Management Portal to change user password.

4 Authentication Settings: Redirects to HKEX Access Management Portal to register new or remove authentication devices.

Notifications

The Notifications interface displays the HKSCC Participant's list of website notifications that are non-specific to an IPO case, e.g. EIPO Management-related notifications. Notifications specific to an IPO case are displayed on the [Dashboard](#).



1 Number of Unread Notifications: Displays the number of notifications that have not been marked as “Read”. If there are no unread notifications, the bubble will be hidden.

2 Mark All as Read: Marks all unread notifications as “Read”.

3 User Function: Displays the applicable user function related to the notification message.

4 Notification Message: Displays the website notification message.

5 Timestamp: Displays the system timestamp of the notification message.

6 Mark as Read / Unread: Marks the notification message as read / unread (must hover over the right side of the notification message).

⚠ If the user has configured to not receive website notifications in the [Settings](#) interface, no new system notifications will be posted to this interface.

Audit Log

The Audit Log interface allows users to download daily audit reports related to different IPO cases and user functions.



Stock Code	Company Name	Report Date ↓	Report Name
9625	Best Financial Company Limited	2022-06-24	CP EIPO Subscription Audit Log 
9909	Best Internet Technology Company Limited	2022-06-24	CP EIPO Subscription Audit Log 
9625	Best Financial Company Limited	2022-06-23	CP EIPO Subscription Audit Log 
9909	Best Internet Technology Company Limited	2022-06-23	CP EIPO Subscription Audit Log 
9625	Best Financial Company Limited	2022-06-22	CP EIPO Subscription Audit Log 
9909	Best Internet Technology Company Limited	2022-06-22	CP EIPO Subscription Audit Log 

Rows per page: 10 1-6 of 6 < >

1 Reports: Displays a table containing the list of audit reports that can be downloaded by the user (see below for list of available data fields).

Field	Format	Length	Description
Stock Code	String	10	The IPO's stock code. Blank if the report relates to a non-IPO specific function.
Company Name	String	80	The IPO's company name. Blank if the report relates to a non-IPO specific function.
Report Date	String	10	The calendar date on which the audit activities were captured within the report. For example, the system would generate on 2022-06-22 (00:00) the audit report for activities performed on 2022-06-21 (with Report Date = 2022-06-21).
Report Name	String	255	The name of the report (refer to Data Specifications for the full list).

5. Functional Guide

Dashboard

The Dashboard interface serves as the landing page upon the user accessing any IPO case from the [Homepage](#). It displays several widgets containing summary statistics in relation to the IPO case and buttons to access other user functions.

Note the availability of different widgets and functions will vary depending on the IPO case's Offering Type, latest status and the individual user's own access permissions. As a general rule of thumb:

- If a function is not displayed, it means the user does not have the requisite rights to access and / or operate the function.
- If a function is displayed but greyed out, it means the user has the requisite rights to access and / or operate the function, but the IPO case has not reached the relevant start time.



1 Last Updated Timestamp: Displays a timestamp of when the statistics within the widgets was last updated.

2 Security Type / Value Toggle: Configures the statistics within the widgets to display in terms of security type (e.g. 100 shares) **[Default]** or value (e.g. HKD 100).

3 Timetable: Displays a high level timetable displaying the key deadline dates for the IPO, e.g. for subscriptions, allotment and settlement.

4 Initial Allocation: Displays the initial allocation of securities between the Public Offer and Institutional Offer.

△ If the IPO's Offering Type is not Global Offer (Placing and Public Offer) or by Placing Only, this widget is hidden.

5 Subscription Level: Displays a line chart summarising the HKSCC Participant's total subscription, by either number of securities or monetary value (updated per hour).

△ If the IPO's Offering Type is not Global Offer (Placing and Public Offer) or By Public Offer Only, this widget is hidden.

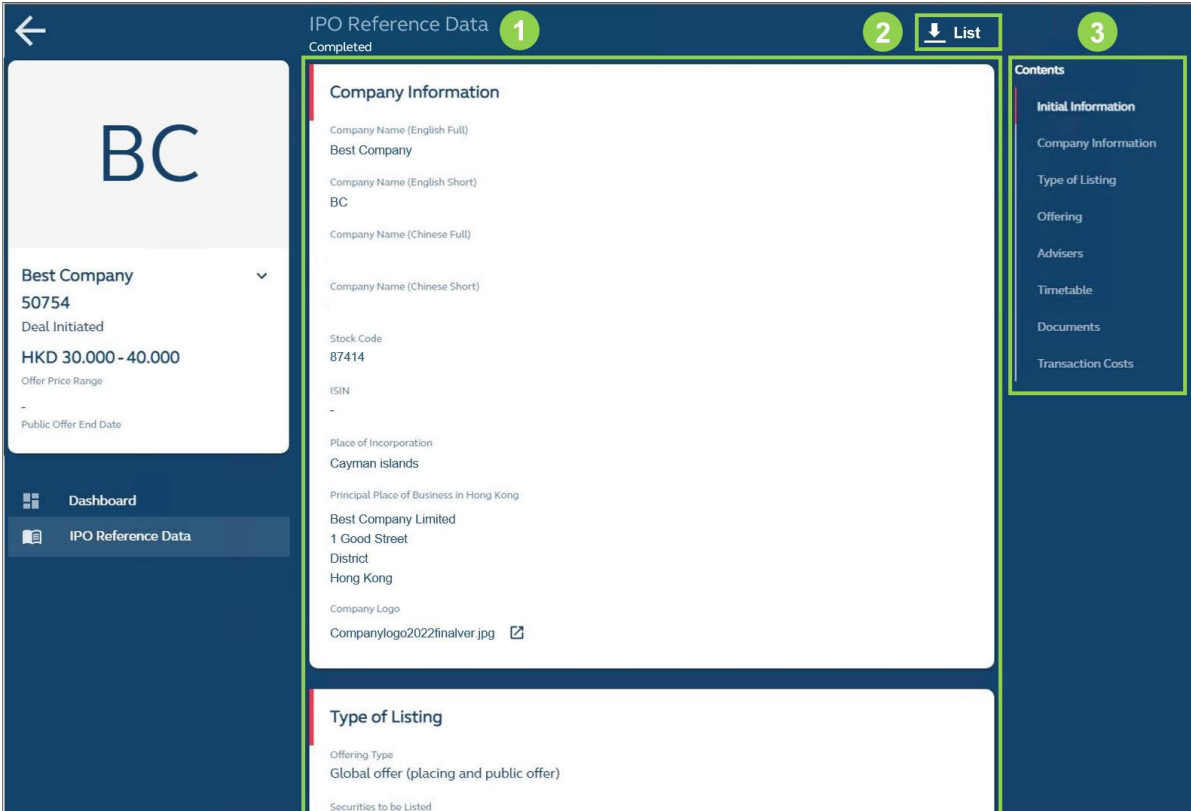
6 Notifications: Displays the latest list of website notifications related to the IPO case. Further information on the available functions related to this widget can be found in [Notifications](#).

7 User Functions: Accesses the [IPO Reference Data](#), [EIPO Subscription](#), [EIPO Funding](#) and [EIPO Allotment](#) functions.

△ If the user occupies multiple roles (e.g. HKSCC Participant, FINI Bank, and Sponsor), more user functions will be displayed within the sidebar.

IPO Reference Data

The IPO Reference Data interface displays the latest reference data related to the IPO case.



The screenshot shows the 'IPO Reference Data' interface for the company 'Best Company'. The interface is divided into three main sections, indicated by numbered callouts:

- 1 Reference Data:** This section displays the company's latest reference data. It includes a 'Company Information' table with fields such as Company Name (English Full), Company Name (English Short), Company Name (Chinese Full), Company Name (Chinese Short), Stock Code, ISIN, Place of Incorporation, and Principal Place of Business in Hong Kong. Below this is a 'Type of Listing' section showing the Offering Type as 'Global offer (placing and public offer)' and the Securities to be Listed.
- 2 Data Report:** This section contains a 'List' button with a download icon, which is used to download the Public IPO Reference Data Report.
- 3 Section:** This section is a 'Contents' sidebar on the right side of the interface, which allows users to navigate to different sections of the reference data tables, including Initial Information, Company Information, Type of Listing, Offering, Advisers, Timetable, Documents, and Transaction Costs.

The interface also features a top navigation bar with a back arrow, the title 'IPO Reference Data', and a 'Completed' status. A left sidebar contains a navigation menu with 'Dashboard' and 'IPO Reference Data' options. The main content area shows the company logo 'BC' and a summary card for 'Best Company' with details like '50754', 'Deal Initiated', and 'HKD 30,000 - 40,000'.

1 Reference Data: Displays several tables containing the IPO case's latest reference data (see below for list of available data fields).

2 Data Report: Downloads the [Public IPO Reference Data Report](#), which is a set of .CSV files (under a .ZIP file) containing the IPO case's latest reference data.

3 Section: Navigates the interface to the applicable section of the reference data tables.

IPO Reference Data Fields

Company Information:

Field	Format	Length	Description
Relaunched Deal Indicator	String	1	To indicate whether the IPO case is going through a relaunch.
Existing Listed Company Indicator	String	1	To indicate whether the IPO case is operated by an existing listed company.
Company Name (English Full)	String	80	The IPO's company full English name.
Company Name (English Short)	String	15	The IPO's company short English name.
Company Name (Chinese Full)	String	80	The IPO's company full Chinese name.
Company Name (Chinese Short)	String	8	The IPO's company short Chinese name.
Stock Code	String	10	The IPO's stock code.
ISIN	String	12	The IPO's ISIN.
Place of Incorporation	String	40	The IPO company's place of incorporation.
Principal Place of Business in Hong Kong	String	40 * 4	The IPO company's principal address in Hong Kong

Warrants (up to 10):

Field	Format	Length	Description
Warrant Name (English Full)	String	100	The warrant's full English name.
Warrant Name (English Short)	String	15	The warrant's short English name.
Warrant Code	String	10	The warrant's security code.
ISIN	String	12	The warrant's ISIN.
Board Lot Size	Integer	6	The minimum trading unit of the warrant.
Initial Subscription Price	Decimal	12,3	The subscription price of the warrant.
Total Number of Warrants	Integer	20	The number of warrants to be issued.

△ If the IPO case has no warrants, this table will be hidden.

Type of Listing:

Field	Format	Length	Description										
Offering Type	String	80	The listing method of the IPO case: <table border="1" data-bbox="724 1525 1370 1682"> <thead> <tr> <th>Offering Type</th> </tr> </thead> <tbody> <tr> <td>Global offer (placing and public offer)</td> </tr> <tr> <td>By placing only</td> </tr> <tr> <td>By public offer only</td> </tr> <tr> <td>By introduction</td> </tr> <tr> <td>Transfer from GEM</td> </tr> </tbody> </table>	Offering Type	Global offer (placing and public offer)	By placing only	By public offer only	By introduction	Transfer from GEM				
Offering Type													
Global offer (placing and public offer)													
By placing only													
By public offer only													
By introduction													
Transfer from GEM													
Securities to be Listed	String	80	The type of securities being listed: <table border="1" data-bbox="724 1727 1370 1989"> <thead> <tr> <th>Security type</th> </tr> </thead> <tbody> <tr> <td>Ordinary shares</td> </tr> <tr> <td>Ordinary shares (H shares)</td> </tr> <tr> <td>Ordinary shares (conversion from B to H shares)</td> </tr> <tr> <td>Preference shares</td> </tr> <tr> <td>Real Estate Investment Trust</td> </tr> <tr> <td>Exchange Traded Product</td> </tr> <tr> <td>Depositary Receipts</td> </tr> <tr> <td>Stapled Securities</td> </tr> <tr> <td>Others [Free text]</td> </tr> </tbody> </table>	Security type	Ordinary shares	Ordinary shares (H shares)	Ordinary shares (conversion from B to H shares)	Preference shares	Real Estate Investment Trust	Exchange Traded Product	Depositary Receipts	Stapled Securities	Others [Free text]
Security type													
Ordinary shares													
Ordinary shares (H shares)													
Ordinary shares (conversion from B to H shares)													
Preference shares													
Real Estate Investment Trust													
Exchange Traded Product													
Depositary Receipts													
Stapled Securities													
Others [Free text]													
Nominal Value per Share	Decimal	[None]	The nominal or par value of the IPO company's securities.										

Field	Format	Length	Description																	
Nominal Currency	String	3	The nominal currency of the IPO company's securities.																	
Listing Platform	String	10	The listing board of the IPO case: <table border="1" data-bbox="724 293 1370 371"> <thead> <tr> <th>Board</th> </tr> </thead> <tbody> <tr> <td>Main Board</td> </tr> <tr> <td>GEM</td> </tr> </tbody> </table>	Board	Main Board	GEM														
Board																				
Main Board																				
GEM																				
Listing Type	String	10	The listing type of the IPO case: <table border="1" data-bbox="724 423 1370 501"> <thead> <tr> <th>Listing type</th> </tr> </thead> <tbody> <tr> <td>Primary</td> </tr> <tr> <td>Secondary</td> </tr> </tbody> </table>	Listing type	Primary	Secondary														
Listing type																				
Primary																				
Secondary																				
Listing Categories	String	80	To indicate whether the IPO case fits any specific listing categories (fields are non-mutually exclusive): <table border="1" data-bbox="724 575 1370 730"> <thead> <tr> <th>Listing category</th> </tr> </thead> <tbody> <tr> <td>Dual-primary</td> </tr> <tr> <td>Biotech</td> </tr> <tr> <td>WVR</td> </tr> <tr> <td>US Reg-S</td> </tr> <tr> <td>Specialist Technology Company</td> </tr> </tbody> </table>	Listing category	Dual-primary	Biotech	WVR	US Reg-S	Specialist Technology Company											
Listing category																				
Dual-primary																				
Biotech																				
WVR																				
US Reg-S																				
Specialist Technology Company																				
WVR Ratio	String	10	If the IPO company has weighted voting rights securities, the voting ratio expressed in "[n] to [n]", e.g. "10 to 1" Hidden if "WVR" is not selected in Listing Categories .																	
Other Listing Venue(s)	String	80	If the IPO case is a dual-primary listing, then the list of exchange(s) where the IPO company is also listed: Hidden if "Dual-primary" is not selected in Listing Categories .																	
Primary Listing Venue (other than on SEHK)	String	80	If the IPO case is a secondary listing, then the list of primary exchange(s) where the IPO company is also listed (fields are non-mutually exclusive): <table border="1" data-bbox="724 1028 1370 1491"> <thead> <tr> <th>Exchange</th> </tr> </thead> <tbody> <tr> <td>The Amsterdam Stock Exchange (NYSE Euronext - Amsterdam)</td> </tr> <tr> <td>The Australian Securities Exchange (ASX)</td> </tr> <tr> <td>The Brazilian Securities, Commodities and Futures Exchange (BM&FBOVESPA)</td> </tr> <tr> <td>The Frankfurt Stock Exchange (Deutsche Börse)</td> </tr> <tr> <td>The Italian Stock Exchange (Borsa Italiana)</td> </tr> <tr> <td>The London Stock Exchange (LSE)</td> </tr> <tr> <td>The Madrid Stock Exchange (Bolsa de Madrid)</td> </tr> <tr> <td>NASDAQ OMX (US)</td> </tr> <tr> <td>The New York Stock Exchange (NYSE Euronext (US))</td> </tr> <tr> <td>The Paris Stock Exchange (NYSE Euronext – Paris)</td> </tr> <tr> <td>The Singapore Exchange (SGX)</td> </tr> <tr> <td>The Stockholm Stock Exchange (NASDAQ OMX – Stockholm)</td> </tr> <tr> <td>The Swiss Exchange (SIX Swiss Exchange)</td> </tr> <tr> <td>The Tokyo Stock Exchange (TSE)</td> </tr> <tr> <td>The Toronto Stock Exchange (TMX)</td> </tr> <tr> <td>Others [Free text]</td> </tr> </tbody> </table> Hidden if "Primary" is selected in Listing Type .	Exchange	The Amsterdam Stock Exchange (NYSE Euronext - Amsterdam)	The Australian Securities Exchange (ASX)	The Brazilian Securities, Commodities and Futures Exchange (BM&FBOVESPA)	The Frankfurt Stock Exchange (Deutsche Börse)	The Italian Stock Exchange (Borsa Italiana)	The London Stock Exchange (LSE)	The Madrid Stock Exchange (Bolsa de Madrid)	NASDAQ OMX (US)	The New York Stock Exchange (NYSE Euronext (US))	The Paris Stock Exchange (NYSE Euronext – Paris)	The Singapore Exchange (SGX)	The Stockholm Stock Exchange (NASDAQ OMX – Stockholm)	The Swiss Exchange (SIX Swiss Exchange)	The Tokyo Stock Exchange (TSE)	The Toronto Stock Exchange (TMX)	Others [Free text]
Exchange																				
The Amsterdam Stock Exchange (NYSE Euronext - Amsterdam)																				
The Australian Securities Exchange (ASX)																				
The Brazilian Securities, Commodities and Futures Exchange (BM&FBOVESPA)																				
The Frankfurt Stock Exchange (Deutsche Börse)																				
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NASDAQ OMX (US)																				
The New York Stock Exchange (NYSE Euronext (US))																				
The Paris Stock Exchange (NYSE Euronext – Paris)																				
The Singapore Exchange (SGX)																				
The Stockholm Stock Exchange (NASDAQ OMX – Stockholm)																				
The Swiss Exchange (SIX Swiss Exchange)																				
The Tokyo Stock Exchange (TSE)																				
The Toronto Stock Exchange (TMX)																				
Others [Free text]																				

Offering:

Field	Format	Length	Description								
Trading Currency	String	3	The IPO case's trading currency: <table border="1" data-bbox="724 327 1369 430"> <thead> <tr> <th>Currency</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>HKD</td> <td>Hong Kong Dollar</td> </tr> <tr> <td>CNY</td> <td>Chinese Yuan</td> </tr> <tr> <td>USD</td> <td>United States Dollar</td> </tr> </tbody> </table>	Currency	Description	HKD	Hong Kong Dollar	CNY	Chinese Yuan	USD	United States Dollar
Currency	Description										
HKD	Hong Kong Dollar										
CNY	Chinese Yuan										
USD	United States Dollar										
Downward Price Flexibility	Percentage	3,0	The percentage at which the IPO company may price its IPO below the minimum offer price.								
Minimum Offer Price	Decimal	12,3	The minimum offer price of the IPO.								
Maximum Offer Price	Decimal	12,3	The maximum offer price of the IPO.								
Final Offer Price	Decimal	12,3	The final offer price of the IPO. Displayed only after the final offer price has been confirmed by the Overall Coordinator(s).								
Trading Board Lot	Integer	6	The minimum trading unit of the IPO company.								
Public Offer Reallocation Cap (%)	Decimal	4,2	The percentage cap at which the IPO company may allocate its securities to the public offer at its own discretion.								
Number of [Security type] Held by Existing [Security type holder]	Integer	20	The number of securities issued by the IPO company before the commencement of the IPO.								
Number of Offer [Security type]	Integer	20	The expected number of securities to be issued by the IPO company following the completion of the IPO.								
Initial and Clawback Thresholds	Integer	4 * 10	The thresholds for triggering a clawback.								
Public Offer Allocation (%)	Percentage	5,2 * 10	The number of securities to be allocated to the public offer, based on the clawback threshold reached.								
Offer Size Adjustment Option (%)	Percentage	5,2	The IPO's offer size adjustment option, expressed in percentage terms (Example: "10" = 10%).								
Over-allotment Option Inclusive of Offer Size Adjustment Option	String	80	To indicate whether the calculation of the IPO case's Over-allotment Option is inclusive of the Offer Size Adjustment Option.								
Over-allotment Option (%)	Percentage	5,2	The IPO's over-allotment option, expressed in percentage terms (Example: "10" = 10%).								
Denomination Table	N/A	N/A	The table containing the denominations at which an investor may subscribe for the IPO's public offer securities.								
Initial Number of Public Offer [Security type]	Integer	20	The number of securities initially allocated to the public offer.								
Initial Number of Institutional Offer [Security type]	Integer	20	The number of securities initially allocated to the institutional offer.								
Total Initial Number of Offer [Security type]	Integer	20	Initial Number of Public Offer [Security type] + Initial Number of Institutional Offer [Security type].								
Preferential Offer Allocation from Public Offer	Integer	20	The number of securities allocated to preferential offer(s) from the public offer.								
Preferential Offer Allocation from Institutional Offer	Integer	20	The number of securities allocated to preferential offer(s) from the institutional offer.								
Total Preferential Offer Allocation from Offer	Integer	20	The number of securities allocated to preferential offer(s) from the original share offer.								
Final Number of Public Offer [Security type]	Integer	20	The final number of securities allocated to the public offer.								
Final Number of Institutional Offer [Security type]	Integer	20	The final number of securities allocated to the institutional offer.								
Final Number of Offer [Security type]	Integer	20	The final number of securities allocated to the share offer.								
Size of Public Offer Size Adjustment Option Exercised (Number of [Security type])	Integer	20	The additional number of securities issued to the public offer using the IPO's offer size adjustment option.								
Size of Institutional Offer Size Adjustment Option Exercised (Number of [Security type])	Integer	20	The additional number of securities issued to the institutional offer using the IPO's offer size adjustment option.								
Total Offer Size Adjustment Option Exercised (Number of [Security type])	Integer	20	The additional number of securities issued to the share offer using the IPO's offer size adjustment option.								

Field	Format	Length	Description
Size of Public Offer Over-allocation (Number of [Security type])	Integer	20	The additional number of securities issued to the public offer using the IPO's over-allotment option.
Size of Institutional Offer Over-allocation (Number of [Security type])	Integer	20	The additional number of securities issued to the institutional offer using the IPO's over-allotment option.
Total Over-allocation (Number of [Security type])	Integer	20	The additional number of securities issued to the share offer using the IPO's over-allotment option.
Final Size of the Public Offer	Integer	20	Final Number of Public Offer [Security type] + Size of Public Offer Size Adjustment Option Exercised (Number of [Security type]) + Size of Public Offer Over-allocation (Number of [Security type])
Final Size of the Institutional Offer	Integer	20	Final Number of Institutional Offer [Security type] + Size of Institutional Offer Size Adjustment Option Exercised (Number of [Security type]) + Size of Institutional Offer Over-allocation (Number of [Security type])
Final Size of the Offer	Integer	20	Final Size of the Public Offer + Final Size of the Institutional Offer
Total Issued Capital Upon Listing	Integer	20	The IPO company's total issued number of securities upon listing.
Total H Shares Issued Upon Listing	Integer	20	The IPO company's total issued number of H-shares upon listing. This field is hidden if "H-shares" or "Ordinary shares (conversion from B to H shares)" was not selected in Securities to be Listed .
Total Non-WVR Shares Issued Upon Listing	Integer	20	The IPO company's total issued number of non-weighted voting rights securities upon listing. This field is hidden if "WVR" was not selected in Listing Categories .

Public Offer Demand:

Field	Format	Length	Description
EIPO Channel (Valid Application Quantity)	Integer	20	Number of securities validly subscribed by the EIPO Channel.
e-White Channel (Valid Application Quantity)	Integer	20	Number of securities validly subscribed by the e-White Channel.
Total Public Offer (Valid Application Quantity)	Integer	20	Number of securities validly subscribed by the public offer.
Subscription Ratio (Valid Application Quantity)	Decimal	21,2	Total Public Offer Valid Application Quantity divided by Number of Public Offer [Security type] .
EIPO Channel (Invalid Application Quantity)	Integer	20	Number of securities invalidly subscribed by the EIPO Channel.
e-White Channel (Invalid Application Quantity)	Integer	20	Number of securities invalidly subscribed by the e-White Channel.

Institutional Offer Demand:

Field	Format	Length	Description
Number of Institutional Offer [Security type] Subscribed For	Integer	20	Number of securities validly subscribed by the institutional offer.
Institutional Offer Subscription Ratio	Decimal	21,2	Number of Institutional Offer [Security type] Subscribed For divided by Number of Institutional Offer [Security type] .

Preferential Offers (up to 10):

Field	Format	Length	Description				
Name of Offer	String	80	The name of the preferential offer.				
Type of Offer	String	80	The type of preferential offer being operated: <table border="1" style="margin-left: 20px;"> <thead> <tr> <th>Type</th> </tr> </thead> <tbody> <tr> <td>Shareholder Offer</td> </tr> <tr> <td>Employee Offer</td> </tr> <tr> <td>Others [Free text]</td> </tr> </tbody> </table>	Type	Shareholder Offer	Employee Offer	Others [Free text]
Type							
Shareholder Offer							
Employee Offer							
Others [Free text]							
Number of Preferential Offer [Security type]	Integer	20	The number of securities under				

Field	Format	Length	Description			
IPO Tranche	String	80	The IPO tranche from which the securities of the preferential offer are taken from: <table border="1" data-bbox="710 286 1353 369"> <thead> <tr> <th>Type</th> </tr> </thead> <tbody> <tr> <td>Public Offer</td> </tr> <tr> <td>Institutional Offer</td> </tr> </tbody> </table>	Type	Public Offer	Institutional Offer
Type						
Public Offer						
Institutional Offer						
Number of Valid Subscriptions	Integer	20	The final number of valid subscriptions for the preferential offer.			
Number of Rejected Subscriptions	Integer	20	The final number of rejected subscriptions for the preferential offer.			
Final Number of Allottees	Integer	20	The final number of allottees for the preferential offer			
Number of [Security Type] Applied for Valid Applications	Integer	20	The total valid application quantity for the preferential offer.			
Final Allotted Quantity	Integer	20	The final number of securities allotted for the preferential offer.			
Share Reallocation	Integer	20	The number of shares reallocated to the IPO Tranche as a result of undersubscription.			

⚠ If the IPO case has no preferential offers, this table will be hidden.

Advisers:

Field	Format	Length	Description
Designated Sponsor	String	80	The Designated Sponsor of the IPO.
Other Sponsor(s)	String	80	The other joint sponsor(s) of the IPO.
HK Legal Adviser (for Sponsor)	String	80	The list of legal counsels retained by the sponsors of the IPO.
HK Legal Adviser (for Issuer)	String	80	The IPO company's legal counsel.
Underwriter(s)	String	80	The list of underwriters within the IPO.
Adviser(s)	String	80	The list of advisers within the IPO.
Overall Coordinator(s)	String	80	The list of Overall Coordinator(s) within the IPO.
Distributor(s)	String	80	The list of Distributor(s) within the IPO.
HK Share Registrar	String	80	The IPO company's Hong Kong Share Registrar.

Timetable:

Field	Format	Length	Description
Commencement of Trading Date	String	19	The expected time and date at which the IPO commences trading.
Deal / Public Offer Start Date	String	19	The time and date for opening the IPO's public offer for subscriptions.
Public Offer End Date	String	19	The time and date for closing the IPO's public offer from subscriptions.
Expected Price Determination Date	String	19	The latest time and date for determining the final price of the IPO.
Allotment Announcement / Share Posting / Certificate Dispatch Date	String	10	The expected date for broadcasting the public offer allotment results of the IPO.
Settlement Instructions Input Date	String	10	The expected date for HKSCC to permit the inputting of settlement instructions.
Pre-deposit / Placing Shares Delivery Date	String	19	The latest time and date for delivering the institutional offer shares to CCASS.

Documents:

Field	Format	Length	Description
Listing Document (English)	N/A	N/A	The IPO case's English prospectus (in PDF format).
Listing Document (Chinese)	N/A	N/A	The IPO case's Chinese prospectus (in PDF format).
Supplemental Announcement	N/A	N/A	The IPO case's supplemental announcements (if any).

			Hidden if there are no documents available.
Supplemental Prospectus (English)	N/A	N/A	The IPO case's supplemental English prospectus (if any). Hidden if there are no documents available.
Supplemental Prospectus (Chinese)	N/A	N/A	The IPO case's supplemental Chinese prospectus (if any). Hidden if there are no documents available.

Transaction Costs:

Field	Format	Length	Description
Brokerage	Percentage	8,5	The percentage of the allotment value payable as brokerage.
SFC Transaction Levy	Percentage	8,5	The percentage of the allotment value payable to the SFC.
Stock Exchange Trading Fee	Percentage	8,5	The percentage of the allotment value payable to SEHK.
AFRC Transaction Levy	Percentage	8,5	The percentage of the allotment value payable to the Accounting and Financial Reporting Council.

EIPO Subscription

The EIPO Subscription interface allows HKSCC Participants to view and manage subscriptions related to the IPO case.

Overview

BC

Best Company
50754
Deal Initiated

HKD 30.000 - 40.000
Offer Price Range

-
Public Offer End Date

1 66,665,181.00
PO Max Value

2 99
Number of Applications

3 9,900
Applied Quantity (Shares)

4 439,990.19
Application Value (HKD)

5

Interim
Pending
Authorised
Invalidated

Delete + Create Instruction Data File Submit Recor... ▼

	Action	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity
<input type="checkbox"/>	Addition	0000000092949899B	HKID	HKG	E805108(1)	Dorothy Yu		100 ✎
<input type="checkbox"/>	Addition	0000000092949898B	HKID	HKG	J283925(8)	Sarah Yan		100 ✎
<input type="checkbox"/>	Addition	0000000092949897B	HKID	HKG	Q848289(0)	Bryan Tang		100 ✎
<input type="checkbox"/>	Addition	0000000092949896B	HKID	HKG	F579549(7)	Sean Qin		100 ✎

1 POmax value: Displays the POmax value of the IPO. Further information on POmax is available in [EIPO Management](#).

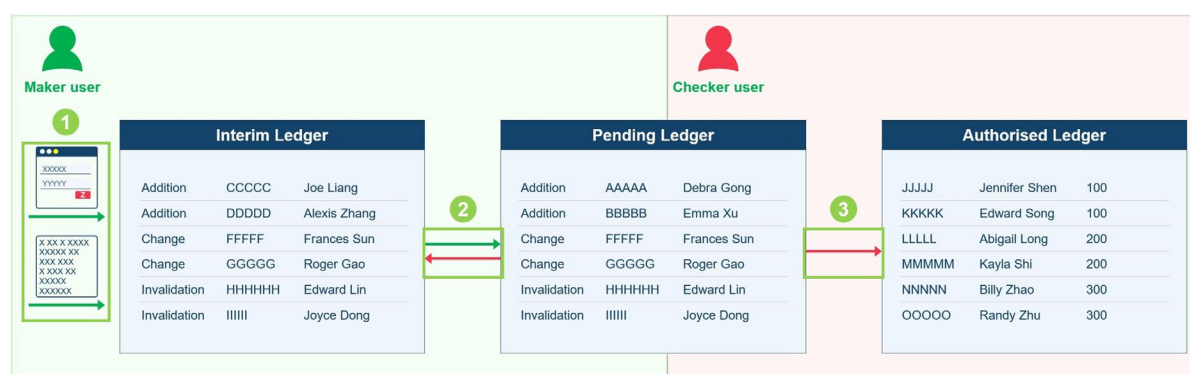
2 Number of Applications: Displays the total number of subscriptions under the HKSCC Participant's "Authorised" Ledger.

3 Applied Quantity ([Security type]): Displays the total number of securities being subscribed under the HKSCC Participant's Authorised Ledger.

4 Application Value ([Currency]): Displays the total value of securities (inclusive of fees) being subscribed under the HKSCC Participant's Authorised Ledger.

5 Subscription Ledgers: Navigates between the "Interim", "Pending", "Authorised" and "Invalidated" Ledgers.

How It Works



Adding, changing or removing any subscriptions through the interface always requires a maker-checker workflow. Subscriptions may also be managed without any maker-checker workflow through the FINI API Gateway. For further information, please refer to the API Guide on the FINI website.

1 Input: Maker users draft instructions individually via an electronic form for saving on the Interim Ledger. Maker users then submit instructions for approval by selecting the applicable data entries and moving them to a "Pending" Ledger.

Alternatively, maker users may prepare entries by bulk using a data file and directly uploading them onto the "Pending" Ledger.

2 Withdraw / Revert: Maker users withdraw or checker users revert selected instructions for further user amendment within the "Interim" Ledger.

3 Authorise: Checker users approve instructions on the "Pending" Ledger for formal execution, which depends on the selected action type (below).

Action	Task
Addition	Adds a new subscription to the Authorised Ledger.
Change	Amends an existing subscription on the Authorised Ledger.
Invalidation	Removes an existing subscription on the Authorised Ledger (to the Invalidated Ledger).

⚠ If there are severe accessibility issues with the FINI Platform, HKSCC may under exceptional circumstances consider inputting the EIPO subscriptions on behalf of the HKSCC Participant. HKSCC Participants should expect to provide a formal request with the proper supported authorisations by representatives.

Interim Ledger

EIPO Subscription

66,665,181.00
PO Max Value

99
Number of Applications

9,900
Applied Quantity (Shares)

439,990.19
Application Value (HKD)

1 Interim 2 3 Pending 4 Authorised 5 Invalidated

6 7 8 9

Action	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity
Addition	0000000092949899B	HKID	HKG	E805108(1)	Dorothy Yu		100
Addition	0000000092949898B	HKID	HKG	J283925(8)	Sarah Yan		100
Addition	0000000092949897B	HKID	HKG	Q848289(0)	Bryan Tang		100
Addition	0000000092949896B	HKID	HKG	F579549(7)	Sean Qin		100

The Interim Ledger acts as a maker user's sandbox to create and edit instructions, ahead of submitting them for checker approval.

1 Delete (only available to maker users): Deletes any selected instruction(s).

⚠ Deletions are permanent and no records will be retained.

2 + Create Instruction (only available to maker users): Prompts a window for the maker user to input and create an individual instruction (see "**Online Input**" below).

3 Data File (only available to maker users): Prompts a window for the maker user to select a data file for upload (see [EIPO Bulk Upload File](#) for the specifications).

4 Submit (only available to maker users): Submits any selected instruction(s) to the Pending Ledger.

5 Search Bar: Searches the data tables by a specific field, including: Record ID [**Default**], Full Name (English) or Full Name (Chinese or Non-English).

6 Select All (only available to maker users): Selects all the instruction(s) on the user interface for deletion (see **1**) or submission (see **4**).

△ If the user would like to select all the instruction(s) on the ledger, a tab will be prompted above the data table for further selection.

100 instructions on this page are selected. Select all 49700 instructions

7 Select (only available to maker users): Selects individual instructions for deletion (see **1**) or submission (see **4**).

8 Edit (only available to maker users): Prompts a window for the user to edit a previously saved individual instruction (see "**Online Input**" below).

9 Data table: Displays a table containing the HKSCC Participant's draft instruction(s) on the Interim Ledger (see below for list of available data fields).

Field	Format	Length	Description									
Action	String	20	Describes the action to be performed by the instruction: <table border="1"> <thead> <tr> <th>Action</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td>To create a new subscription</td> </tr> <tr> <td>Change</td> <td>To amend an existing subscription in the Authorised Ledger</td> </tr> <tr> <td>Invalidation</td> <td>To remove an existing subscription in the Authorised Ledger</td> </tr> </tbody> </table>	Action	Description	Addition	To create a new subscription	Change	To amend an existing subscription in the Authorised Ledger	Invalidation	To remove an existing subscription in the Authorised Ledger	
Action	Description											
Addition	To create a new subscription											
Change	To amend an existing subscription in the Authorised Ledger											
Invalidation	To remove an existing subscription in the Authorised Ledger											
Record ID	String	17	A globally unique reference number FINI creates for and assigns to the instruction, containing a 16-digit integer and a single-string suffix to indicate the channel through which the instruction is created: <ul style="list-style-type: none"> ▪ O = Online Input ▪ B = Bulk Upload ▪ A = API Request 									
ID Type	String	40	The type of identification document held by the subscriber: <table border="1"> <thead> <tr> <th>ID Type</th> </tr> </thead> <tbody> <tr> <td>HKID</td> </tr> <tr> <td>National identification document</td> </tr> <tr> <td>Passport</td> </tr> <tr> <td>LEI registration document</td> </tr> <tr> <td>Certificate of incorporation</td> </tr> <tr> <td>Business registration certificate</td> </tr> <tr> <td>Other official incorporation documents</td> </tr> <tr> <td>Broker-to-Client Assigned Number</td> </tr> </tbody> </table>	ID Type	HKID	National identification document	Passport	LEI registration document	Certificate of incorporation	Business registration certificate	Other official incorporation documents	Broker-to-Client Assigned Number
ID Type												
HKID												
National identification document												
Passport												
LEI registration document												
Certificate of incorporation												
Business registration certificate												
Other official incorporation documents												
Broker-to-Client Assigned Number												
ID Country / Jurisdiction	String	3	The issuing authority of the applicant's identification document. Based on ISO-3166 Alpha-3 codes, or 'OTH' to represent "Other". If "HKID" is selected for ID Type , this field is fixed at "HKG". If "LEI registration document" or "Broker-to-Client Assigned Number" is selected for ID Type , this field is fixed at "OTH".									
ID Number	String	40	The ID number of the applicant's identification document.									
Full Name (English)	String	150	The full English name of the applicant. If "Broker-to-Client Assigned Number" is selected for ID Type , this field is hidden.									
Full Name (Chinese or Non-English)	String	150	The full Chinese or Non-English name of the applicant. If "Broker-to-Client Assigned Number" is selected for ID Type , this field is hidden.									
Application Quantity	Integer	20	The number of securities being subscribed by the applicant.									

Field	Format	Length	Description
SEHK Participant ID	String	5	Must be a valid SEHK Participant ID or '00000' (for HKSCC) to identify the entity receiving the brokerage.
Own File Reference	String	40	Free text input reserved for HKSCC Participants.
Last Updated Timestamp	String	10	A timestamp of the last user action, in "YYYY-MM-DD HH:MM:SS" format.
Last Updated User	String	80	The last user responsible for updating the instruction.

Pending Ledger

BC

Best Company
50754
Deal Initiated
HKD 30.000 - 40.000
Offer Price Range
-
Public Offer End Date

EIPO Subscription

66,665,181.00

PO Max Value

99

Number of Applications

9,900

Applied Quantity (Shares)

439,990.19

Application Value (HKD)

1 Interim
2 Pending
3 Pending
4 Authorised
5 Finalised

Withdraw
Revert
Approve
List
Recor... ▼

8	Action	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity
<input type="checkbox"/>	Addition	0000000092949699B	HKID	HKG	V279274(6)	Megan Du		100
<input type="checkbox"/>	Addition	0000000092949698B	HKID	HKG	B222306(4)	Linda Chang		100
<input type="checkbox"/>	Addition	0000000092949697B	HKID	HKG	E838480(2)	Raymond Li		100
<input type="checkbox"/>	Addition	0000000092949696B	HKID	HKG	S307592(4)	Patrick He		100

The Pending Ledger shows EIPO instruction(s) that are pending authorisation, which can either be: (i) withdrawn by makers; or (ii) reverted / approved by checkers.

1 Withdraw (only available to maker users): Withdraws any selected instruction(s) to the Interim Ledger.

2 Revert (only available to checker users): Reverts any selected instruction(s) to the Interim Ledger.

3 Approve (only available to checker users): Approves any selected instruction(s) to the Authorised Ledger.

△ Any instructions sent to the Authorised Ledger will be recorded as committed subscriptions, incurring funding obligations.

4 Download Report: Downloads the [CP EIPO Subscription Report \(Pending\)](#), which is a .CSV file containing the HKSCC Participant's EIPO instruction(s) on the Pending Ledger.

5 Search Bar: Searches the data tables by a specific field, including: Record ID [**Default**], Full Name (English) or Full Name (Chinese or Non-English).

6 Select All: Selects all the instruction(s) on the user interface for deletion (see **1**), revert (see **2**) or approval (see **3**).

△ If the user would like to select all the instruction(s) on the ledger, a tab will be prompted above the data table for further selection.

100 instructions on this page are selected. Select all 49700 instructions

8 Data table: Displays a table containing the HKSCC Participant instruction(s) on the Pending Ledger (see below for list of available data fields).

Field	Format	Length	Description									
Action	String	20	Describes the action to be performed by the instruction: <table border="1"> <thead> <tr> <th>Value</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Addition</td> <td>To create a new subscription</td> </tr> <tr> <td>Change</td> <td>To amend an existing subscription in the Authorised Ledger</td> </tr> <tr> <td>Invalidation</td> <td>To remove an existing subscription in the Authorised Ledger</td> </tr> </tbody> </table>	Value	Description	Addition	To create a new subscription	Change	To amend an existing subscription in the Authorised Ledger	Invalidation	To remove an existing subscription in the Authorised Ledger	
Value	Description											
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ID Type	String	40	The type of identification document held by the subscriber: <table border="1"> <thead> <tr> <th>ID Type</th> </tr> </thead> <tbody> <tr> <td>HKID</td> </tr> <tr> <td>National identification document</td> </tr> <tr> <td>Passport</td> </tr> <tr> <td>LEI registration document</td> </tr> <tr> <td>Certificate of incorporation</td> </tr> <tr> <td>Business registration certificate</td> </tr> <tr> <td>Other official incorporation documents</td> </tr> <tr> <td>Broker-to-Client Assigned Number</td> </tr> </tbody> </table>	ID Type	HKID	National identification document	Passport	LEI registration document	Certificate of incorporation	Business registration certificate	Other official incorporation documents	Broker-to-Client Assigned Number
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ID Country / Jurisdiction	String	3	The issuing authority of the applicant's identification document. Based on ISO-3166 Alpha-3 codes, or 'OTH' to represent "Other".									
ID Number	String	40	The ID number of the applicant's identification document.									
Full Name (English)	String	150	The full English name of the applicant.									
Full Name (Chinese or Non-English)	String	150	The full Chinese or Non-English name of the applicant.									
Application Quantity	Integer	20	The number of securities being subscribed by the applicant.									
SEHK Participant ID	String	5	Must be a valid SEHK Participant ID or '00000' (for HKSCC) to identify the entity receiving the brokerage.									
Own File Reference	String	40	Free text input reserved for HKSCC Participants.									
Last Updated Timestamp	String	10	A timestamp of the last user action, in "YYYY-MM-DD HH:MM:SS" format.									
Last Updated User	String	80	The last user responsible for updating the instruction.									

Authorised Ledger

The screenshot displays the 'Authorised Ledger' for an 'EIPO Subscription'. At the top, it shows a total value of 66,665,181.00 (PO Max Value). Below this, three key metrics are highlighted: 99 Number of Applications, 9,900 Applied Quantity (Shares), and 439,990.19 Application Value (HKD). The interface is divided into sections for 'Interim', 'Pending', 'Committed' (highlighted with a green circle 1), and 'Invalidated' (highlighted with a green circle 2). A 'Download Report' button (highlighted with a green circle 3) is visible. A table below lists individual subscriptions with the following columns: Record ID, ID Type, ID Country / Jurisdiction, ID Number, Full Name (English), Full Name (Chinese or Non-English), Application Quantity, and SEHK Participant ID.

Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	SEHK Participant ID
0000000092949798B	HKID	HKG	H128828(1)	Patricia Yu		100	1089
0000000092949797B	HKID	HKG	H548259(4)	Carl Liu		100	1089
0000000092949796B	HKID	HKG	Z765928(4)	Terry Chang		100	1089
0000000092949795B	HKID	HKG	I445193(0)	Martha Su		100	1089
0000000092940701B	HKID	HKG	H566574(3)	Gregory		100	1089

The Authorised Ledger shows the HKSCC Participant's committed subscriptions for a particular IPO case.

⚠ If there are conflicting instructions or submissions, the last instruction or submission received by the FINI platform, and if applicable, not withdrawn or cancelled upon the IPO case reaching "Public Offer Closed", shall prevail and be deemed irrevocable.

1 Download Report: Downloads the [CP EIPO Subscription Report \(Authorised\)](#), which is a .CSV file containing the HKSCC Participant's EIPO instruction(s) on the Authorised Ledger.

2 Search Bar: Searches the data tables by a specific field, including: Record ID [**Default**], Full Name (English) or Full Name (Chinese or Non-English).

3 Data table: Displays a table containing the HKSCC Participant's subscriptions on the Authorised Ledger (see below for list of available data fields).

Field	Format	Length	Description									
Record ID	String	17	A globally unique reference number FINI creates for and assigns to the instruction, containing a 16-digit integer and a single-string suffix to indicate the channel through which the instruction is created: <ul style="list-style-type: none"> ▪ O = Online Input ▪ B = Bulk Upload ▪ A = API Request 									
ID Type	String	40	The type of identification document held by the subscriber: <table border="1" data-bbox="726 443 1369 676"> <thead> <tr> <th>ID Type</th> </tr> </thead> <tbody> <tr> <td>HKID</td> </tr> <tr> <td>National identification document</td> </tr> <tr> <td>Passport</td> </tr> <tr> <td>LEI registration document</td> </tr> <tr> <td>Certificate of incorporation</td> </tr> <tr> <td>Business registration certificate</td> </tr> <tr> <td>Other official incorporation documents</td> </tr> <tr> <td>Broker-to-Client Assigned Number</td> </tr> </tbody> </table>	ID Type	HKID	National identification document	Passport	LEI registration document	Certificate of incorporation	Business registration certificate	Other official incorporation documents	Broker-to-Client Assigned Number
ID Type												
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Other official incorporation documents												
Broker-to-Client Assigned Number												
ID Country / Jurisdiction	String	3	The issuing authority of the applicant's identification document. Based on ISO-3166 Alpha-3 codes, or "OTH" to represent "Other".									
ID Number	String	40	The ID number of the applicant's identification document.									
Full Name (English)	String	150	The full English name of the applicant.									
Full Name (Chinese or Non-English)	String	150	The full Chinese or Non-English name of the applicant.									
Application Quantity	Integer	20	The number of securities being subscribed by the applicant.									
SEHK Participant ID	String	5	Must be a valid SEHK Participant ID or '00000' (for HKSCC) to identify the entity receiving the brokerage.									
Own File Reference	String	40	Free text input reserved for HKSCC Participants.									
Last Updated Timestamp	String	10	A timestamp of the last user action, in "YYYY-MM-DD HH:MM:SS" format.									
Last Updated User	String	80	The last user responsible for updating the instruction.									
Duplicate Flag	String	1	"Y" to indicate whether the subscription has been identified as a duplicate within the HKSCC Participant's Authorised Ledger. Else, blank. <p>△ Any subscription marked as "Y" after the Public Offer Book Close will be invalidated by the system and moved to the Invalidated Ledger.</p> <p>△ The system will further check for potential duplications against subscriptions on the Authorised Ledgers of other HKSCC Participants and in the e-White Channel after the Public Offer Book Close. Such duplicates will be invalidated by the system immediately without advance warning.</p>									

Invalidated Ledger

The screenshot displays the 'Invalidated Ledger' for an EIPO Subscription. The interface includes a sidebar with navigation options such as 'Dashboard', 'IPO Reference Data', 'Public Offer', 'EIPO Subscription', 'EIPO Funding (CP)', 'EIPO Funding (DB)', and 'EIPO Allotment'. The main content area shows a summary for 'BC' with a 'PO Max Value' of 66,665,181.00. Below this are three summary cards: 'Number of Applications' (99), 'Applied Quantity (Shares)' (9,900), and 'Application Value (HKD)' (439,990.19). A filter bar at the top indicates 'Interim', 'Pending', '1 Cancelled', and '2 Invalidated'. A 'List' button is highlighted with a green circle 1. A search bar is highlighted with a green circle 2. A data table is highlighted with a green circle 3, showing one record with the following fields: Record ID, ID Type, ID Country / Jurisdiction, ID Number, Full Name (English), Full Name (Chinese or Non-English), Application Quantity, SEHK Participant ID, and Own Refer.

The Invalidated Ledger shows the HKSCC Participant's previously committed subscriptions for a particular IPO case that have since been removed.

1 Download Report: Downloads the [CP EIPO Subscription Report \(Invalidated\)](#), which is a .CSV file containing the HKSCC Participant's subscriptions on the Invalidated Ledger.

2 Search Bar: Searches the data tables by a specific field, including: Record ID [**Default**], Full Name (English) or Full Name (Chinese or Non-English).

3 Data table: Displays a table containing the HKSCC Participant's subscription(s) on the Invalidated Ledger (see below for list of available data fields).

Field	Format	Length	Description						
Record ID	String	17	A globally unique reference number FINI creates for and assigns to the instruction, containing a 16-digit integer and a single-string suffix to indicate the channel through which the instruction is created: <ul style="list-style-type: none"> ○ = Online Input ■ B = Bulk Upload ■ A = API Request 						
ID Type	String	40	The type of identification document held by the subscriber: <table border="1" data-bbox="724 1883 1370 2033"> <thead> <tr> <th>ID Type</th> </tr> </thead> <tbody> <tr> <td>HKID</td> </tr> <tr> <td>National identification document</td> </tr> <tr> <td>Passport</td> </tr> <tr> <td>LEI registration document</td> </tr> <tr> <td>Certificate of incorporation</td> </tr> </tbody> </table>	ID Type	HKID	National identification document	Passport	LEI registration document	Certificate of incorporation
ID Type									
HKID									
National identification document									
Passport									
LEI registration document									
Certificate of incorporation									

Field	Format	Length	Description
			Business registration certificate
			Other official incorporation documents
			Broker-to-Client Assigned Number
ID Country / Jurisdiction	String	3	The issuing authority of the applicant's identification document. Based on ISO-3166 Alpha-3 codes, or "OTH" to represent "Other".
ID Number	String	40	The ID number of the applicant's identification document.
Full Name (English)	String	150	The full English name of the applicant.
Full Name (Chinese or Non-English)	String	150	The full Chinese or Non-English name of the applicant.
Application Quantity	Integer	20	The number of securities being subscribed by the applicant.
SEHK Participant ID	String	5	Must be a valid SEHK Participant ID or '00000' (for HKSCC) to identify the entity receiving the brokerage.
Own File Reference	String	40	Free text input reserved for HKSCC Participants.
Last Updated Timestamp	String	10	A timestamp of the last user action, in "YYYY-MM-DD HH:MM:SS" format.
Last Updated User	String	80	The last user responsible for updating the instruction.
Invalidation Reason	String	40	The reason for which the subscription was invalidated: <ul style="list-style-type: none"> ▪ CP Cancellation – the subscription was invalidated by the HKSCC Participant via a maker-checker workflow during the Public Offer Subscription Period. ▪ HKSCC Cancellation – the subscription was invalidated by HKSCC on behalf of an HKSCC Participant via a maker-checker workflow during the Public Offer Subscription Period. ▪ Invalid BCAN – the subscription was invalidated by HKSCC due to the system not being to identify a valid BCAN from the HKIDR system after the public offer book close. ▪ Duplicate – the subscription was invalidated due to the system identifying a duplicate against other public offer subscriptions, including the EIPO and e-White Channels. ▪ Failed pre-funding – the subscription was invalidated due to failing the Public Offer Funding Confirmation step. ▪ Failed Settlement – the subscription was invalidated due to the allotment failing the Public Offer Money Settlement step.

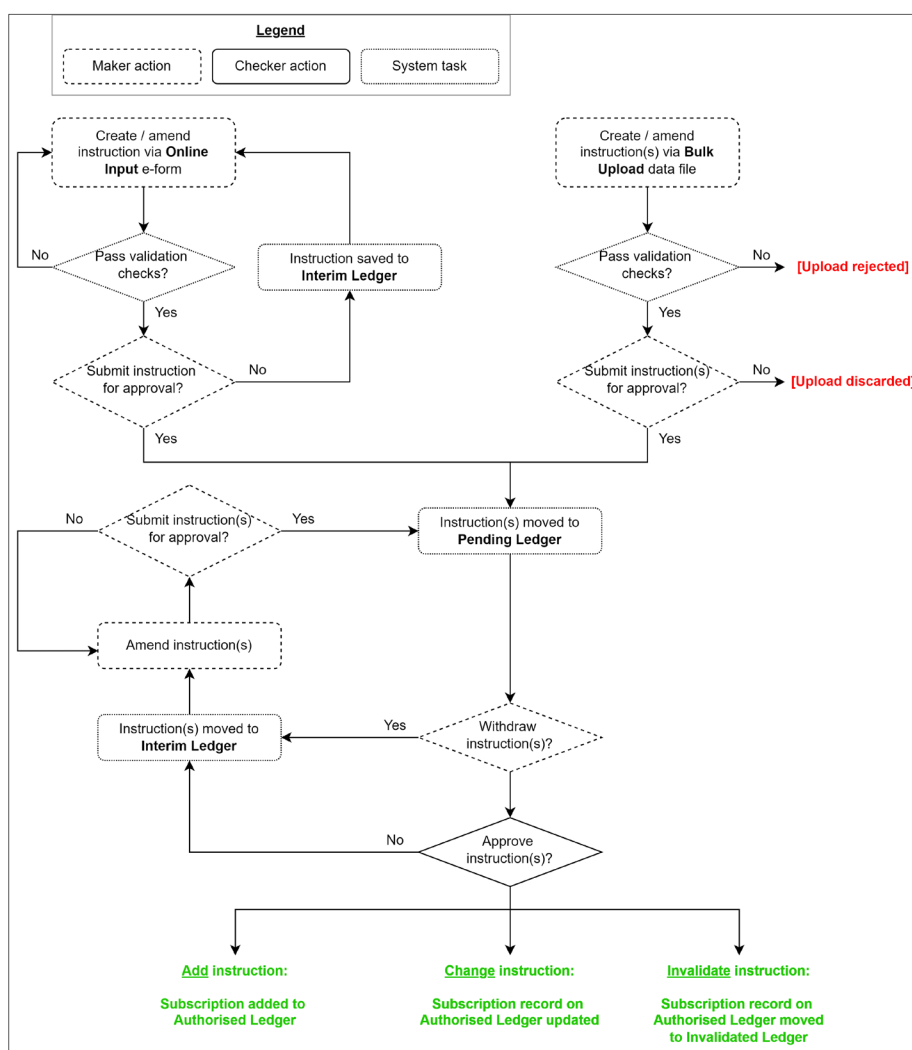
Inputting EIPO Instructions

During the Public Offer Subscription Period, HKSCC Participants may input instruction(s) for a particular IPO Case via one of three channels:

- **Online Input** – Submit an e-form via the user interface to create or manage an individual subscription
- **Bulk Upload** – Submit a data file via the user interface to create or manage multiple subscriptions
- **API Request** – Submit a JSON payload via the API Gateway to create or manage multiple subscriptions (please refer to the API Guide on the [FINI webpage](#))

Subscriptions that are being inputted via the Online Input and Bulk Upload channels must undergo a maker-checker process, which is summarised in the diagram below.

⚠ If an HKSCC Participant's corresponding EIPO Designated Bank does not have a nominee bank account in the applicable trading currency, all the input functions will be disabled.



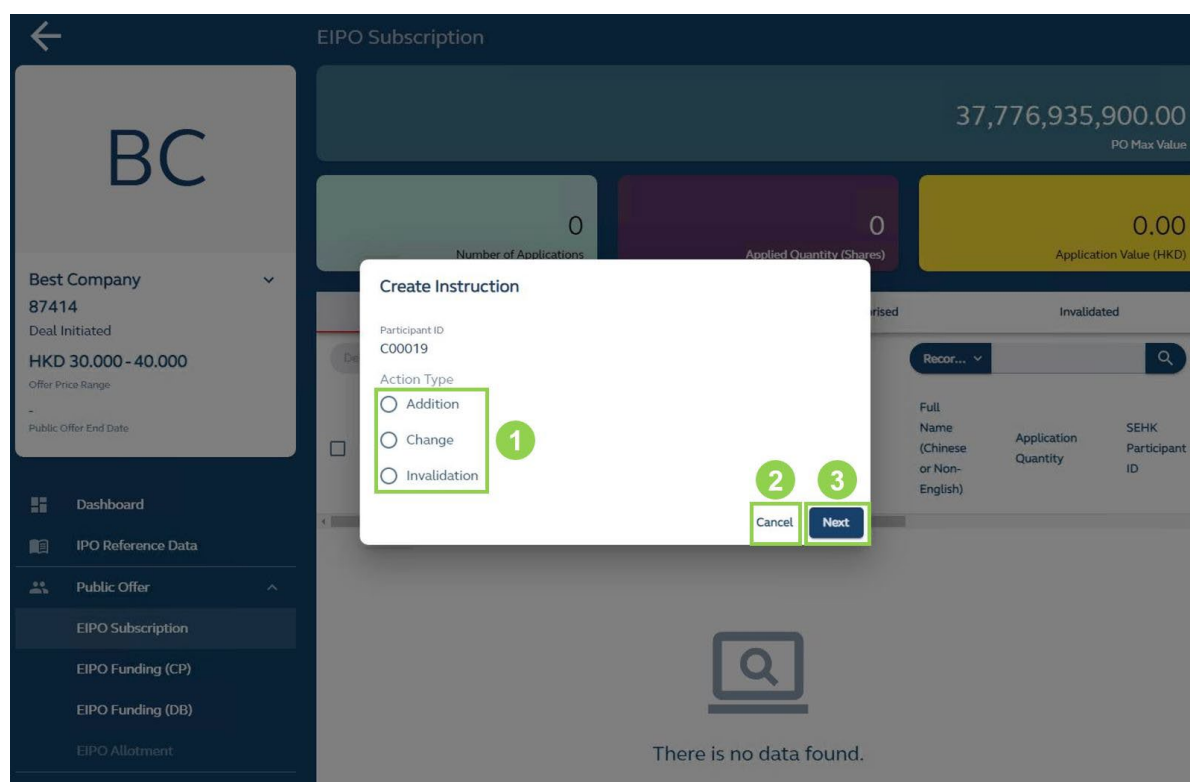
Online Input

Step 1: Create Instruction

The screenshot displays the 'EIPO Subscription' interface. On the left, a sidebar shows the company 'BC' (Best Company 87414) with details: Deal Initiated, Offer Price Range HKD 30,000 - 40,000, and Public Offer End Date. The main area shows a total value of 37,776,935,900.00 (PO Max Value). Three summary cards are visible: 'Number of Applications' (0), 'Applied Quantity (Shares)' (0), and 'Application Value (HKD)' (0.00). Below these are tabs for 'Interim', 'Pending', 'Authorised', and 'Invalidated'. The 'Interim' tab is active, showing a '+ Create Instruction' button highlighted with a green box and a '1' in a green circle. Other buttons include 'Delete', 'Data File', 'Submit', 'List', and 'Reco...'. A table with columns for Action, Record ID, ID Type, ID Country / Jurisdiction, ID Number, Full Name (English), Full Name (Chinese or Non-English), Application Quantity, and SEHK Participant ID is shown below. The table is currently empty, displaying a search icon and the text 'There is no data found.'

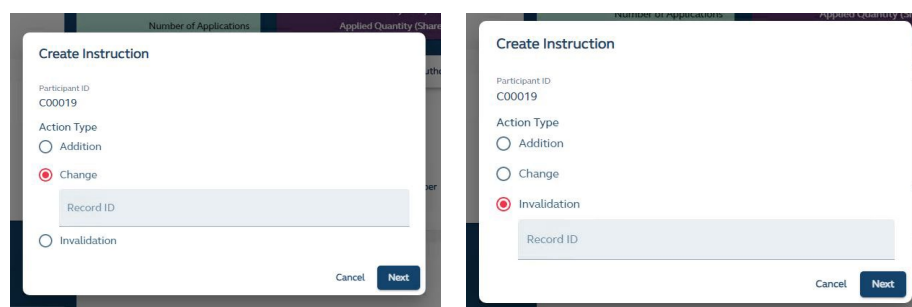
1 + Create Instruction (only available to maker users): Prompts a window for the user to select the type of instruction to be created.

Step 2: Select Action Type



1 Action Type: Select between **Addition** (create a new instruction), **Change** (amend a subscription on the Authorised Ledger) or **Invalidation** (remove a subscription on the Authorised Ledger).

⚠ If Change or Invalidation is selected, the user must also input the applicable Record ID on the Authorised Ledger.



2 Cancel: Discards the instruction without saving any information.

3 Next: Prompts a window for the user to input the required information, based on the selected action type.

Step 3: Input Information

1 Subscriber Information: If Addition or Change is selected as the action type, input the requisite information for the system's validation.

⚠ If Invalidation is selected as the action type, a much simpler confirmation window will be prompted (below).

2 + Joint Applicant: To add an additional joint applicant to the subscription (max: 4). Only HKID, Passport and National identification document can be selected for joint subscriptions.

3 Cancel: Discards the instruction without saving any information.

4 Save: Saves the instruction to the Interim Ledger.

⚠ Saved Instructions can be reopened for further editing by selecting the pen icon (below).

<input type="checkbox"/>	Addition	0000000092949899B	HKID	HKG	E805108(1)	Dorothy Yu	100	
--------------------------	----------	-------------------	------	-----	------------	------------	-----	---

5 Submit: Submits the instruction to the Pending Ledger (see Step 4).

⚠ A maker user may withdraw an instruction from the Pending Ledger, and move it to the Interim Ledger.

Step 4: Review and Approve Instruction(s)

The screenshot displays the 'EIPO Subscription' interface. At the top, a summary card for 'BC' (Best Company) shows deal details: Deal Initiated 87414, Offer Price Range HKD 30.000 - 40.000, and Public Offer End Date -. To the right, a large blue box indicates a 'PO Max Value' of 37,776,935,900.00. Below this, three colored boxes show 'Number of Applications' (0), 'Applied Quantity (Shares)' (0), and 'Application Value (HKD)' (0.00). A navigation bar at the top right shows tabs for 'Pending', 'Authorised', and 'Invalidated', with 'Pending' selected. Below the navigation bar, there are 'Revert' and 'Approve' buttons, a 'List' button, and a search bar. A message states 'All 1 instruction is selected. Clear selection'. A table below lists the subscription instructions:

Action	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	SE Pa ID
<input checked="" type="checkbox"/>	00000001008000000	HKID	HKG	Y876128(6)	Yichun Shan	華億純	6,000,000	00

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1 Revert (only available to checker users): Sends the instruction back to the Interim Ledger.

⚠ Once an instruction has been sent back to the Interim Ledger, a checker user must wait for a maker user's re-submission to the Pending Ledger before approving it.

2 Approve (only available to checker users): Authorises the instruction for execution.

Action	Task
Addition	Adds a new subscription to the Authorised Ledger.
Change	Amends an existing subscription on the Authorised Ledger.
Invalidation	Removes an existing subscription on the Authorised Ledger (to the Invalidated Ledger).

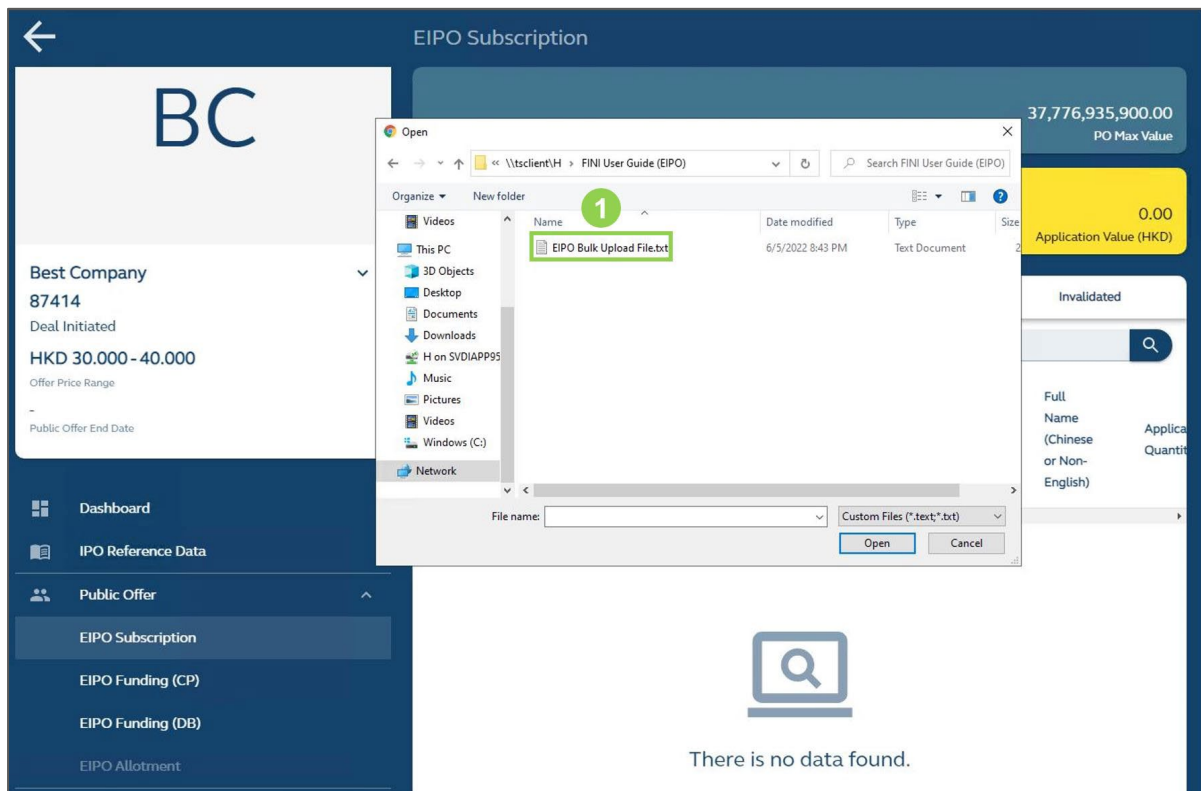
Bulk Upload

Step 1: Create Instruction

The screenshot displays the EIPO Subscription interface. On the left, a sidebar shows the company name 'BC' and deal details: 'Best Company 87414', 'Deal Initiated', and 'HKD 30,000 - 40,000'. The main area shows a total value of 37,776,935,900.00. Below this, three summary cards show 'Number of Applications' (0), 'Applied Quantity (Shares)' (0), and 'Application Value (HKD)' (0.00). A navigation bar includes 'Interim', '1 Pending', 'Authorised', and 'Invalidated'. A toolbar contains buttons for 'Delete', '+ Create Instruction', 'Data File' (highlighted with a green box and a '1' icon), and 'Submit'. A table with columns for 'Action', 'Record ID', 'ID Type', 'ID Country / Jurisdiction', 'ID Number', 'Full Name (English)', 'Full Name (Chinese or Non-English)', 'Application Quantity', and 'SEHK Participant ID' is shown below. The table is currently empty, displaying a search icon and the text 'There is no data found.'

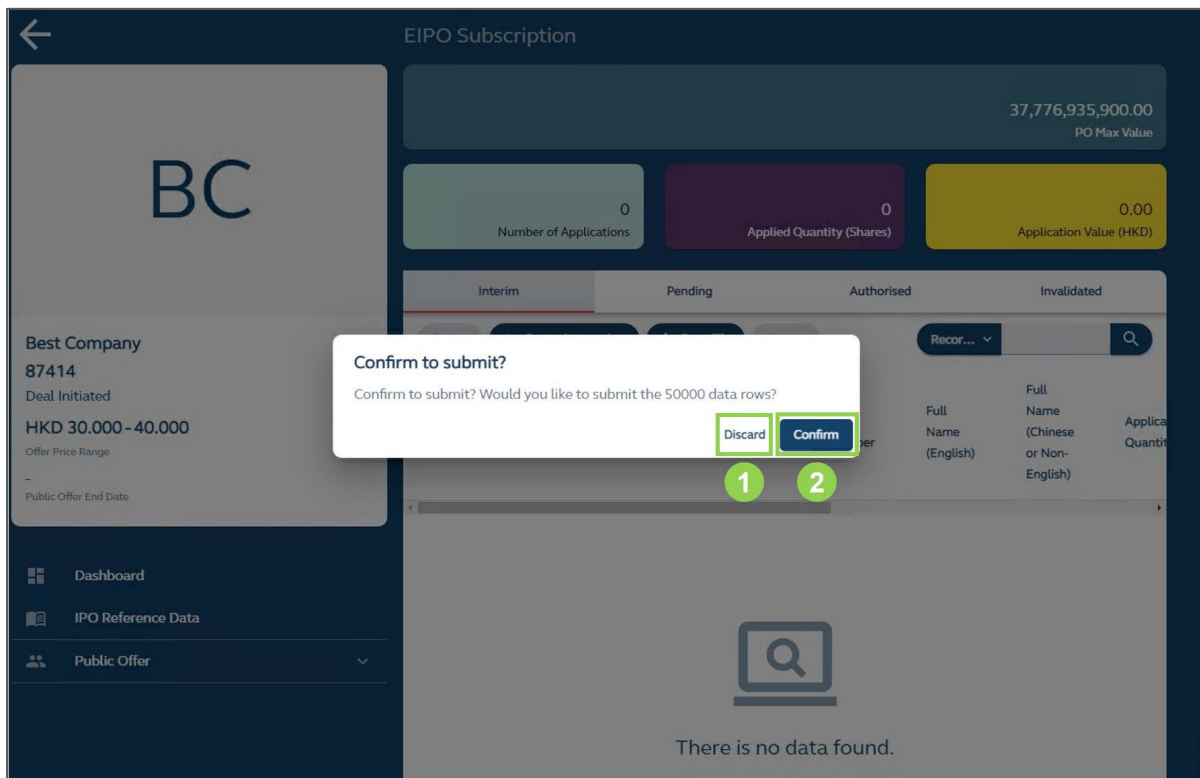
1 **↑ Data File** (only available to maker users): Prompts a window for the user to select a file to be uploaded.

Step 2: Select a File for Upload



1 Data File: Select a data file to be uploaded onto the system for validation (refer to [EIPO Bulk Upload File](#) for specifications).

Step 3a: Wholly Successful Upload

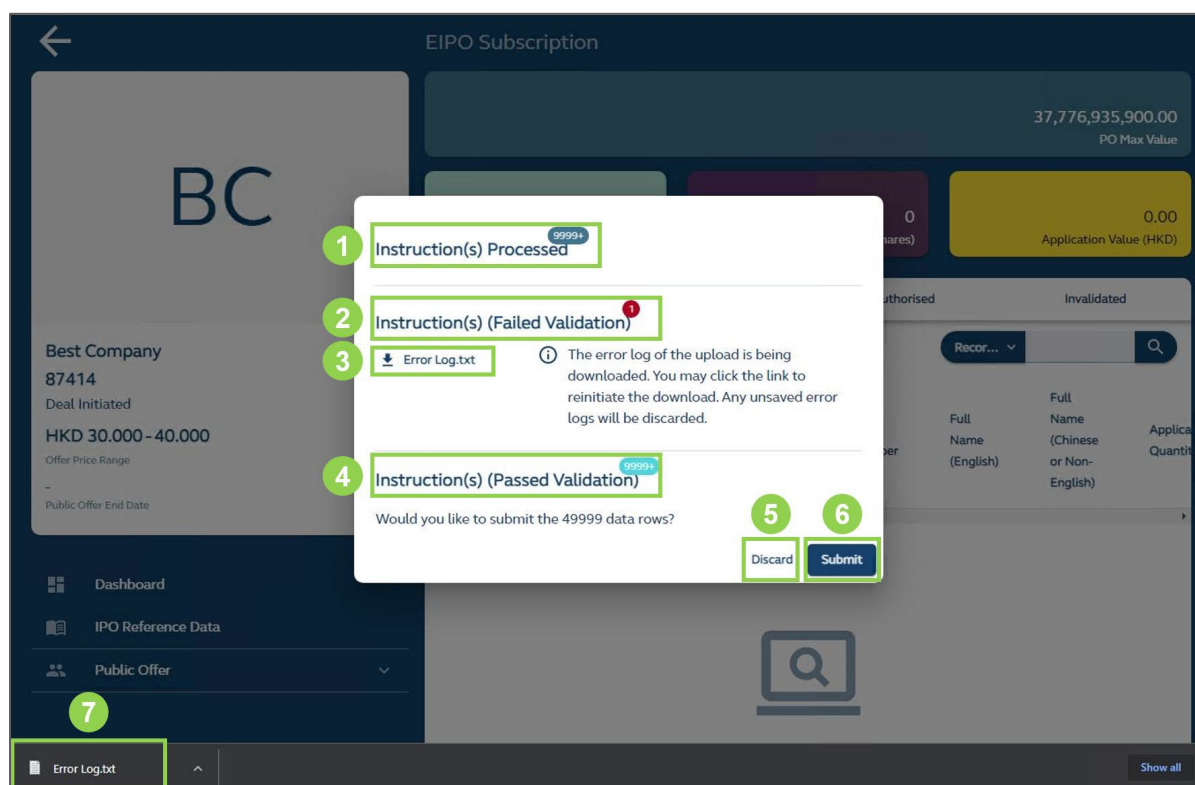


1 Discard: Discards the upload without saving any information.

2 Confirm: Submits the instruction(s) to the Pending Ledger.

⚠ Joint subscriptions are counted as multiple instructions, e.g. 4 applicants = 4 instructions.

Step 3b: Partially Successful Upload



1 Instruction(s) Processed: Displays the number of instruction(s) identified and processed by the system.

⚠ Joint subscriptions are counted as multiple instructions, e.g. 4 applicants = 4 instructions.

2 Instruction(s) Failed Validation: Displays the number of instruction(s) that failed the system's validation checks.

3 Error Log: Downloads a file detailing the errors identified by the system's validation checks (refer to [EIPO Bulk Upload Error Log](#) for specifications).

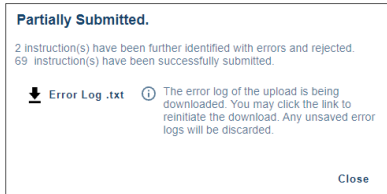
⚠ If an officially supported browser is used (see [Login](#)), the log will download automatically.

4 Instruction(s) Passed Validation: Displays the number of instruction(s) that passed the system's validation checks.

5 Discard: Discards the upload without saving any information.

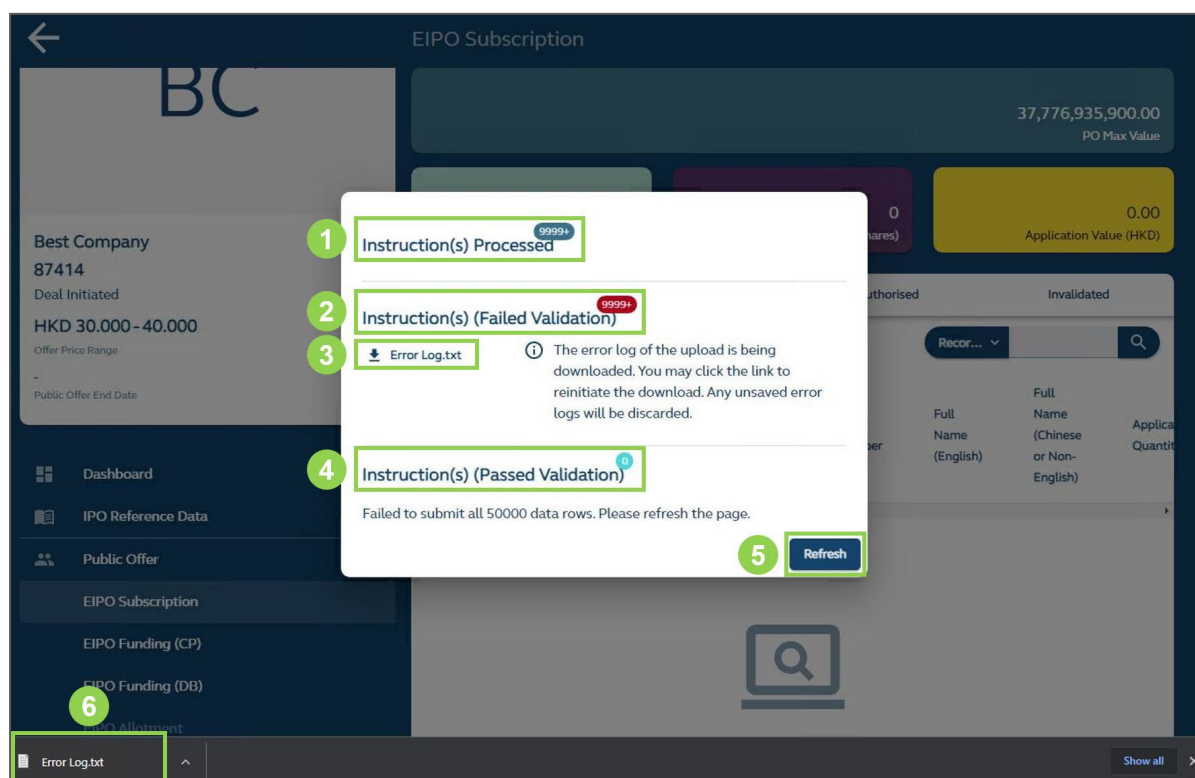
6 Submit: Submits the instruction(s) that have passed validation checks to the Pending Ledger.

⚠ If further errors are identified after submission (e.g. due to conflicted user actions), the valid instructions will still be submitted with a new error log available for download.



7 Automatic File Download: Contains the errors identified by the system's validation checks (refer to [EIPO Bulk Upload Error Log](#) for specifications).

Step 3c: Wholly Unsuccessful Upload



1 Instruction(s) Processed: Displays the number of instruction(s) identified and processed by the system.

⚠ Joint subscriptions are counted as multiple instructions, e.g. 4 applicants = 4 instructions.

2 Instruction(s) Failed Validation: Displays the number of instruction(s) that failed the system's validation checks.

3 Error Log: Downloads a file detailing the errors identified by the system's validation checks (refer to [EIPO Bulk Upload Error Log](#) for specifications).

⚠ If an officially supported browser is used (see [Login](#)), the log will download automatically.

4 Instruction(s) Passed Validation: Displays the number of instruction(s) that passed the system's validation checks (always 0 for wholly unsuccessful uploads).

5 Refresh: Refreshes the webpage to display the latest version of the interface.

6 Automatic File Download: Contains the errors identified by the system's validation checks (refer to [EIPO Bulk Upload Error Log](#) for specifications).

Step 4: Review and Approve Instruction(s)

The screenshot displays the 'EIPO Subscription' interface. On the left, a sidebar shows the 'BC' logo and details for 'Best Company 87414', including 'Deal Initiated', 'HKD 30.000 - 40.000', and 'Offer Price Range'. The main area shows a summary of 'PO Max Value' at 37,776,935,900.00, with 'Number of Applications' at 0, 'Applied Quantity (Shares)' at 0, and 'Application Value (HKD)' at 0.00. Below this, a navigation bar shows 'Interim' (1) and 'Pending' (2) tabs. A table lists instructions with columns for Action, Record ID, ID Type, ID Country/Jurisdiction, ID Number, and Full Name. Three instructions are shown, all with 'Addition' actions and 'HKID' types. The 'Revert' and 'Approve' buttons are highlighted with green boxes and numbered 1 and 2 respectively.

1 Revert (only available to checker users): Sends the instruction(s) back to the Interim Ledger.

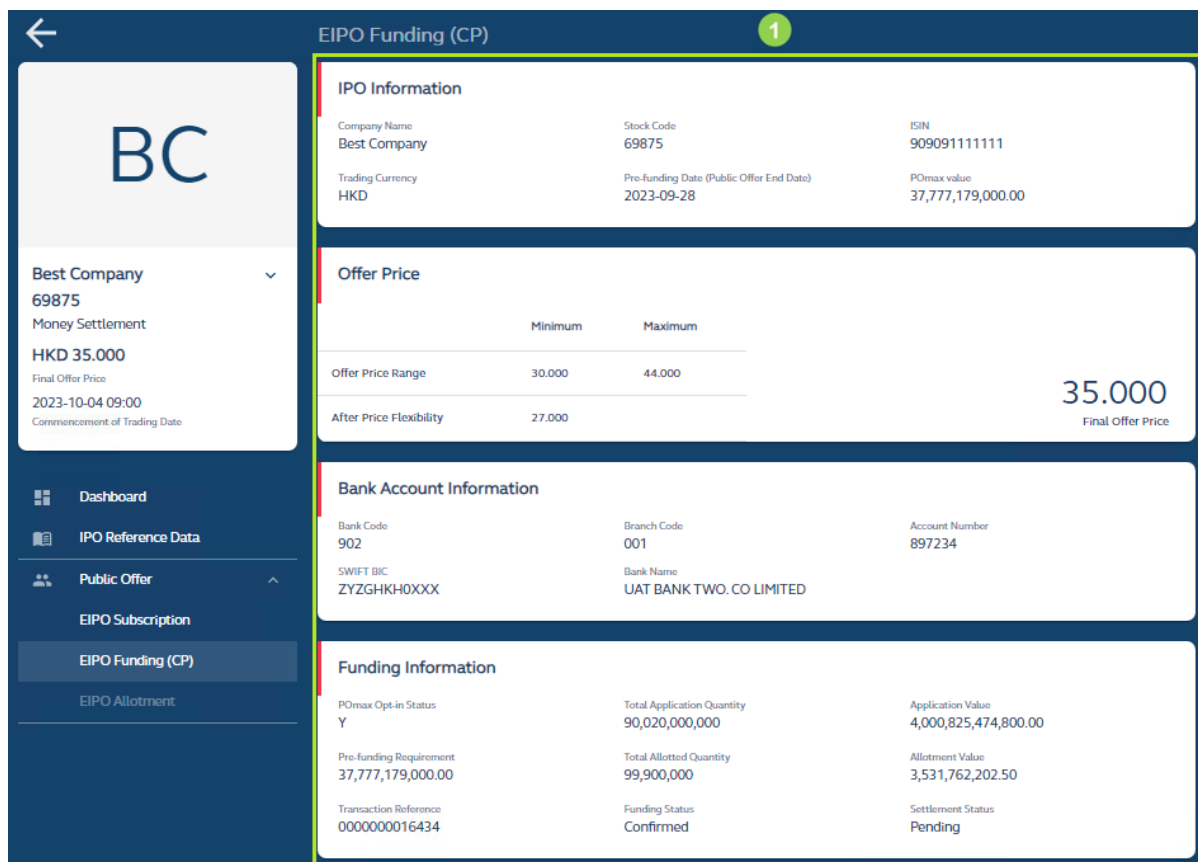
⚠ Once an instruction has been sent back to the Interim Ledger, a checker user must wait for a maker user's re-submission before approving it.

2 Approve (only available to checker users): Authorises the instruction(s) for execution.

Action	Task
Addition	Adds a new subscription to the Authorised Ledger.
Change	Amends an existing subscription on the Authorised Ledger.
Invalidation	Removes an existing subscription on the Authorised Ledger (to the Invalidated Ledger).

EIPO Funding

The EIPO Funding interface allows HKSCC Participants to view and monitor the latest funding and settlement statuses of its subscriptions related to the IPO case.



The screenshot displays the EIPO Funding (CP) interface. A sidebar on the left contains navigation options: Dashboard, IPO Reference Data, Public Offer, EIPO Subscription, EIPO Funding (CP) (highlighted), and EIPO Allotment. The main content area is titled 'EIPO Funding (CP)' and features a green circle with the number '1' indicating the 'Funding' section. The interface is divided into four main sections:

- IPO Information:**

Company Name Best Company	Stock Code 69875	ISIN 909091111111
Trading Currency HKD	Pre-funding Date (Public Offer End Date) 2023-09-28	POmax value 37,777,179,000.00
- Offer Price:**

	Minimum	Maximum	
Offer Price Range	30.000	44.000	35.000 Final Offer Price
After Price Flexibility	27.000		
- Bank Account Information:**

Bank Code 902	Branch Code 001	Account Number 897234
SWIFT BIC ZYZGCHKH0XXX	Bank Name UAT BANK TWO. CO LIMITED	
- Funding Information:**

POmax Opt-in Status Y	Total Application Quantity 90,020,000,000	Application Value 4,000,825,474,800.00
Pre-funding Requirement 37,777,179,000.00	Total Allotted Quantity 99,900,000	Allotment Value 3,531,762,202.50
Transaction Reference 000000016434	Funding Status Confirmed	Settlement Status Pending

1 Funding: Displays several tables containing a summary of the IPO case's funding-related information, bank account information and funding / settlement statuses (see below for list of available data fields).

EIPO Funding Data Fields

IPO Information:

Field	Format	Length	Description
Company Name	String	80	The IPO's company full English name.
Stock Code	String	10	The IPO's company stock code.
ISIN	String	12	The IPO's company ISIN.
Trading Currency	String	3	The IPO case's trading currency.
POmax value	Decimal	20,2	The POmax value of the IPO. Further information on POmax is available in EIPO Management .
Pre-funding Date (Public Offer End Date)	String	10	The date for confirming the HKSCC Participant's pre-funding requirements.

Offer Price:

Field	Format	Length	Description
Minimum Offer Price	Decimal	12,3	The minimum offer price of the IPO.
Maximum Offer Price	Decimal	12,3	The maximum offer price of the IPO.
Minimum after Price Flexibility	Decimal	12,3	The minimum offer price, after adjusting for Downward Price Flexibility .
Final Offer Price	Decimal	12,3	The final offer price of the IPO. If the Final Offer Price has not been inputted, "-" is displayed.

Bank Account Information:

Field	Format	Length	Description
Bank Code	String	3	The HKSCC Participant's latest designated bank account information.
Branch Code	String	3	
Account Number	String	9	
SWIFT BIC	String	11	
Bank Name	String	45	

⚠ Note this information is locked for the IPO case after the Public Offer Book Close.

Example: if the bank account information changes from Bank 123 to Bank 456 after IPO ABC's Public Offer Book Close, then Bank 123 will still be used for the funding confirmation and money settlement for any subscriptions and allotments related to IPO ABC.

Funding Information:


Field	Format	Length	Description
POmax Opt-in Status	String	1	To indicate whether the HKSCC Participant has opted in for compressed pre-funding. Further information on POmax is available in EIPO Management .
Total Application Quantity	Integer	20	The total valid number of securities being subscribed by the HKSCC Participant in EIPO Subscription .
Application Value	Decimal	20,2	The monetary value of the total valid number of securities (inclusive of fees) being subscribed by the HKSCC Participant in EIPO Subscription .
Pre-funding Requirement	Decimal	20,2	The pre-funding requirement for the IPO case: <ul style="list-style-type: none"> If POmax Opt-in Status = "Y", the pre-funding requirement would be min(DCP, POmax) If POmax Opt-in Status = "N", the pre-funding requirement would be DCP
Total Allotted Quantity	Integer	20	The total number of securities being allotted to the HKSCC Participant within the IPO case. Displays as "-" until the allotment information is available in EIPO Allotment .
Allotment Value	Decimal	20,2	The monetary value of the total number of securities (inclusive of fees) being allotted to the HKSCC Participant within the IPO case.

Field	Format	Length	Description														
			Displays as "-" until the allotment information is available in EIPO Allotment .														
Transaction Reference	String	13	A unique reference number assigned to the HKSCC Participant's EIPO subscriptions within an IPO case.														
Funding Status	String	40	<p>The Transaction Reference's funding confirmation status:</p> <table border="1"> <thead> <tr> <th>Status</th> <th>The corresponding Pre-funding Requirement...</th> </tr> </thead> <tbody> <tr> <td>-</td> <td>To be finalised.</td> </tr> <tr> <td>Pending</td> <td>Has been finalised, pending the Designated Bank's confirmation / rejection.</td> </tr> <tr> <td>Confirmed</td> <td>Has been confirmed by the Designated Bank. The HKSCC Participant's subscriptions are sent to ballot.</td> </tr> <tr> <td>Rejected</td> <td>Has been rejected by the Designated Bank. The HKSCC Participant may downsize or withdraw subscriptions to resolve the exception See EIPO Subscription (Downsize) for further information.</td> </tr> <tr> <td>Invalidated</td> <td>Has been invalidated by the system. Any applicable subscriptions are not sent to ballot.</td> </tr> <tr> <td>Not Applicable</td> <td>Has been reduced to 0, and therefore no further action is required.</td> </tr> </tbody> </table>	Status	The corresponding Pre-funding Requirement...	-	To be finalised.	Pending	Has been finalised, pending the Designated Bank's confirmation / rejection.	Confirmed	Has been confirmed by the Designated Bank. The HKSCC Participant's subscriptions are sent to ballot.	Rejected	Has been rejected by the Designated Bank. The HKSCC Participant may downsize or withdraw subscriptions to resolve the exception See EIPO Subscription (Downsize) for further information.	Invalidated	Has been invalidated by the system. Any applicable subscriptions are not sent to ballot.	Not Applicable	Has been reduced to 0, and therefore no further action is required.
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Invalidated	Has been invalidated by the system. Any applicable subscriptions are not sent to ballot.																
Not Applicable	Has been reduced to 0, and therefore no further action is required.																
Settlement Status	String	40	<p>The Transaction Reference's settlement status:</p> <table border="1"> <thead> <tr> <th>Status</th> <th>The corresponding payment instruction...</th> </tr> </thead> <tbody> <tr> <td>-</td> <td>Has yet to be sent to the Designated Bank.</td> </tr> <tr> <td>Pending</td> <td>Has been sent to the Designated Bank, pending for settlement.</td> </tr> <tr> <td>Settled</td> <td>Has been settled by the Designated Bank. The allotment will be deposited into the HKSCC Participant's CCASS segregated stock account.</td> </tr> <tr> <td>Rejected</td> <td>Has been rejected by the Designated Bank.</td> </tr> <tr> <td>Defaulted</td> <td>Was not settled by the deadline, and the allotment has been invalidated.</td> </tr> <tr> <td>Not Applicable</td> <td>Has not been generated, as the Funding Status was marked as "Invalidated" or "Not Applicable".</td> </tr> </tbody> </table>	Status	The corresponding payment instruction...	-	Has yet to be sent to the Designated Bank.	Pending	Has been sent to the Designated Bank, pending for settlement.	Settled	Has been settled by the Designated Bank. The allotment will be deposited into the HKSCC Participant's CCASS segregated stock account.	Rejected	Has been rejected by the Designated Bank.	Defaulted	Was not settled by the deadline, and the allotment has been invalidated.	Not Applicable	Has not been generated, as the Funding Status was marked as "Invalidated" or "Not Applicable".
Status	The corresponding payment instruction...																
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Pending	Has been sent to the Designated Bank, pending for settlement.																
Settled	Has been settled by the Designated Bank. The allotment will be deposited into the HKSCC Participant's CCASS segregated stock account.																
Rejected	Has been rejected by the Designated Bank.																
Defaulted	Was not settled by the deadline, and the allotment has been invalidated.																
Not Applicable	Has not been generated, as the Funding Status was marked as "Invalidated" or "Not Applicable".																
Refund Status	String	40	<p>If the IPO is cancelled and requires EIPO refunds, the Transaction Reference's refund status:</p> <table border="1"> <thead> <tr> <th>Status</th> <th>The corresponding refund instruction...</th> </tr> </thead> <tbody> <tr> <td>Outstanding</td> <td>Has been sent to the Receiving Bank, pending for refund.</td> </tr> <tr> <td>Processed</td> <td>Has been processed by the Receiving Bank.</td> </tr> <tr> <td>Not Applicable</td> <td>Has not been generated, as the Settlement Status was marked as "Defaulted" or "Not Applicable".</td> </tr> </tbody> </table>	Status	The corresponding refund instruction...	Outstanding	Has been sent to the Receiving Bank, pending for refund.	Processed	Has been processed by the Receiving Bank.	Not Applicable	Has not been generated, as the Settlement Status was marked as "Defaulted" or "Not Applicable".						
Status	The corresponding refund instruction...																
Outstanding	Has been sent to the Receiving Bank, pending for refund.																
Processed	Has been processed by the Receiving Bank.																
Not Applicable	Has not been generated, as the Settlement Status was marked as "Defaulted" or "Not Applicable".																

EIPO Subscription (Downsize)

The EIPO Subscription (Downsize) function may be used by HKSCC Participants when its pre-funding requirement is rejected by the EIPO Designated Bank.

While the IPO case remains at "Public Offer Closed" (12:00 to 17:30, T-1), HKSCC Participants may access the same [EIPO Subscription](#) interface to reduce its pre-funding requirement by downsizing or invalidating individual subscriptions.

 Upon the IPO case reaching "Applications Validated" (17:30, T-1), the system will move any subscriptions that do not receive a pre-funding requirement confirmation to the Invalidated Ledger (invalidation reason: '02' [Failed pre-funding]) on the EIPO Subscription interface.

The EIPO Allotment interface will also reflect all the affected subscriptions as unsuccessful ('02' [Failed pre-funding]).

Inputting EIPO Instructions

After having its pre-funding rejected, HKSCC Participants may input downsize or invalidate subscriptions for a particular IPO Case via one of two channels:

- **Online Input** – Submit an e-form via the user interface to downsize or invalidate an individual subscription
- **Bulk Upload** – Submit a data file via the user interface to downsize or invalidate multiple subscriptions

Instructions that are being inputted via the Online Input and Bulk Upload channels must undergo a maker-checker process, which is summarised in the diagram below.

So long the IPO case has not reached "Applications Validated", all the actions listed below are available to the maker / checker users.



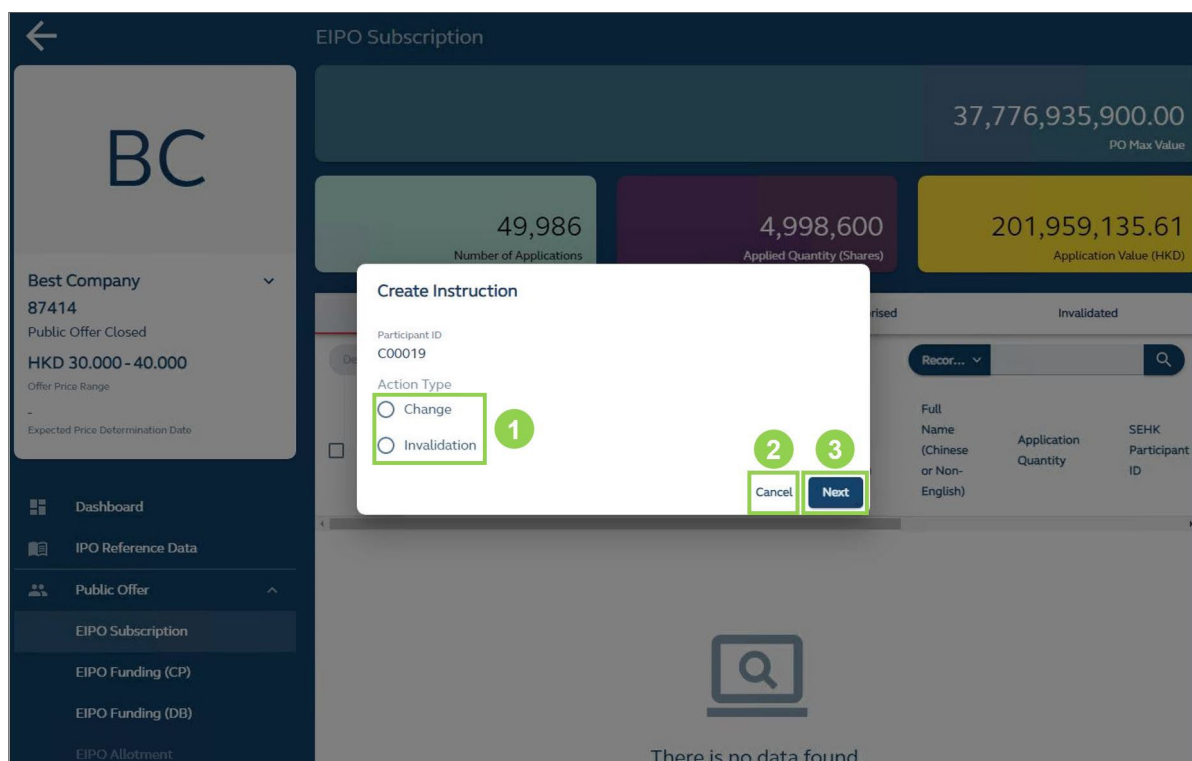
Online Input

Step 1: Create Instruction

The screenshot displays the EIPO Subscription interface. On the left, a sidebar shows the company name 'BC' (Best Company) and details: 87414, Public Offer Closed, HKD 30.000 - 40.000, and an expected price determination date. The main area shows a total PO Max Value of 37,776,935,900.00. Below this, three summary cards are visible: 49,986 Number of Applications (green), 4,998,600 Applied Quantity (Shares) (purple), and 201,959,135.61 Application Value (HKD) (yellow). The main content area is divided into tabs: Interim (1), Pending, Authorised, and Invalidated. The 'Interim' tab is active, and the '+ Create Instruction' button is highlighted with a green circle and the number 1. Below the tabs, there is a table with columns: Action, Record ID, ID Type, ID Country / Jurisdiction, ID Number, Full Name (English), Full Name (Chinese or Non-English), Application Quantity, and SEHK Participant ID. The table is currently empty, displaying 'There is no data found.' with a search icon.

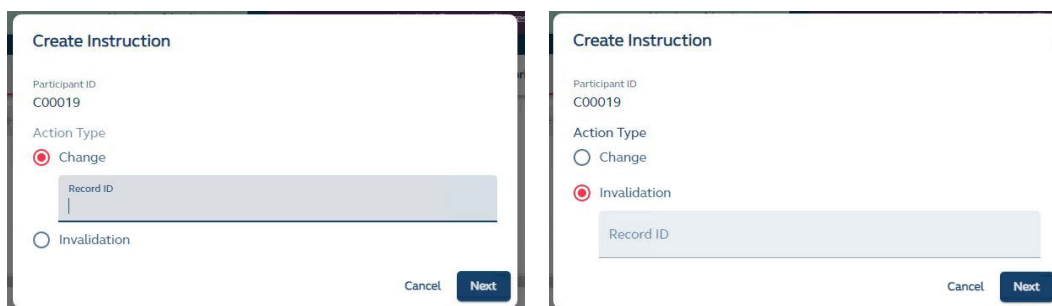
1 + Create Instruction (only available to maker users): Prompts a window for the user to select the type of instruction to be created.

Step 2: Select Action Type



1 Action Type: Select between **Change** (downsize a subscription on the Authorised Ledger) or **Invalidation** (remove a subscription on the Authorised Ledger).

⚠ The user must also input the applicable Record ID on the Authorised Ledger.



2 Cancel: Discards the instruction without saving any information.

3 Next: Prompts a window for the user to input the required information, based on the selected action type.

Step 3: Input Information

1 Application Quantity: Input an updated application quantity for the subscription (must be equal or lesser than the original subscription recorded at the public offer book close).

⚠ If Invalidation is selected as the action type, a much simpler confirmation window will be prompted (below).

2 Cancel: Discards the instruction without saving any information.

3 Save: Saves the instruction to the Interim Ledger.

4 Submit: Submits the instruction to the Pending Ledger (see Step 4).

⚠ A maker user may withdraw an instruction from the Pending Ledger, and move it to the Interim Ledger.

Step 4: Review and Approve Instruction(s)

The screenshot displays the EIPO Subscription interface. On the left, a sidebar shows the user's profile (BC, Best Company 87414, Public Offer Closed, HKD 30,000-40,000) and a navigation menu with options like Dashboard, IPO Reference Data, Public Offer, EIPO Subscription, EIPO Funding (CP), EIPO Funding (DB), and EIPO Allotment. The main area shows a 'Pending' tab with a table of instructions. The table has columns for Action, Record ID, ID Type, ID Country / Jurisdiction, ID Number, Full Name (English), Full Name (Chinese or Non-English), and Application Quantity. One instruction is visible: 'Invalidation' with Record ID '0000000272249999B'. Above the table, there are statistics: 49,986 Number of Applications, 4,998,600 Applied Quantity (Shares), and 201,959,135.61 Application Value (HKD). A 'PO Max Value' of 37,776,935,900.00 is also shown. The interface includes buttons for 'Revert' and 'Approve' (highlighted with a green box), and a 'List' button. A message states 'All 1 instruction is selected. Clear selection'.

1 Revert (only available to checker users): Sends the instruction back to the Interim Ledger.

⚠ Once an instruction has been sent back to the Interim Ledger, a checker user must wait for a maker user's re-submission before approving it.

2 Approve (only available to checker users): Authorises the instruction for execution.

Action	Task
Change	Downsizes an existing subscription on the Authorised Ledger.
Invalidation	Removes an existing subscription on the Authorised Ledger (to the Invalidated Ledger).

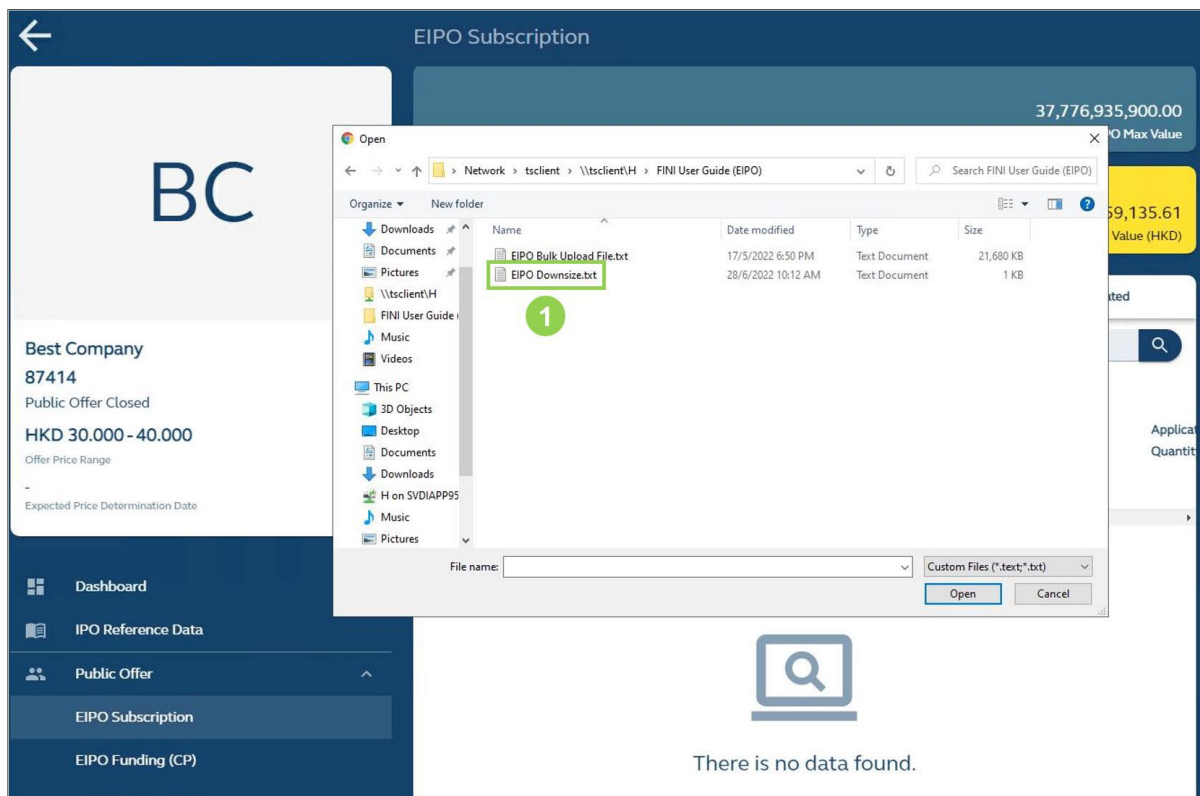
⚠ If the HKSCC Participant's EIPO Designated Bank rejects its pre-funding requirement, then the user functions will be re-enabled for further downsizing / invalidation / re-submission. Once a checker user approves any number of instruction(s), the subscription list will become non-editable and any saved instruction(s) on the Interim / Pending Ledgers will be deleted. The HKSCC Participant's funding status will change to "Pending" for further assessment by its EIPO Designated Bank.

Bulk Upload

Step 1: Create Instruction

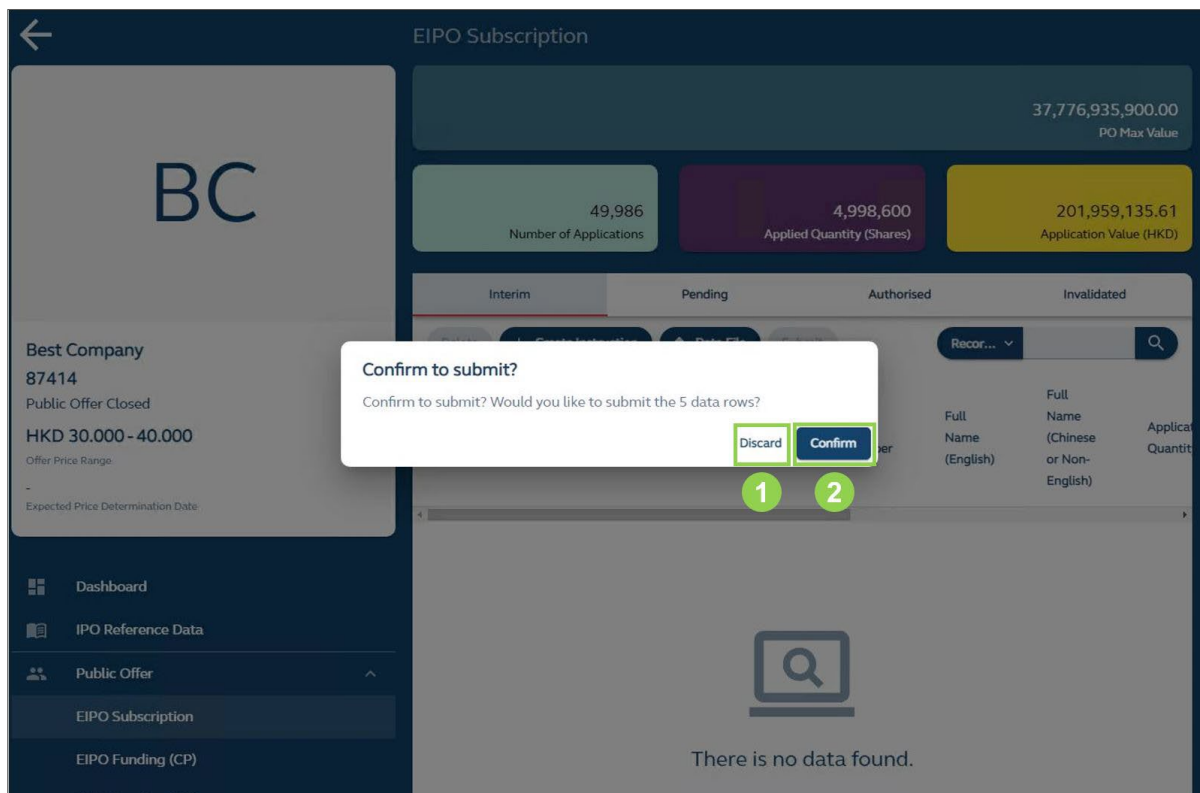
The screenshot displays the 'EIPO Subscription' interface. On the left, a sidebar shows the 'Best Company' details for '87414', including 'Public Offer Closed' and an offer price range of 'HKD 30,000 - 40,000'. The main dashboard features three key statistics: 49,986 Number of Applications, 4,998,600 Applied Quantity (Shares), and 201,959,135.61 Application Value (HKD). A top right corner shows a 'PO Max Value' of 37,776,935,900.00. Below these statistics, a tabbed interface shows 'Pending' as the active status, with a green circle and number '1' indicating one pending record. A toolbar includes buttons for 'Delete', '+ Create Instruction', 'Data File' (highlighted with a green box and a green circle with '1'), and 'Submit'. A 'List' button with a download icon and a search icon is also present. The table below has columns for Action, Record ID, ID Type, ID Country / Jurisdiction, ID Number, Full Name (English), Full Name (Chinese or Non-English), Application Quantity, and SEHK Participant ID. The table is currently empty, displaying a magnifying glass icon and the text 'There is no data found.'

1 **↑ Data File** (only available to maker users): Prompts a window for the user to select a file to be uploaded.

Step 2: Select a File for Upload

1 Data File: Select a data file to be uploaded onto the system for validation (see [EIPO Bulk Upload File \(Downsize\)](#) for the specifications).

Step 3a: Wholly Successful Upload

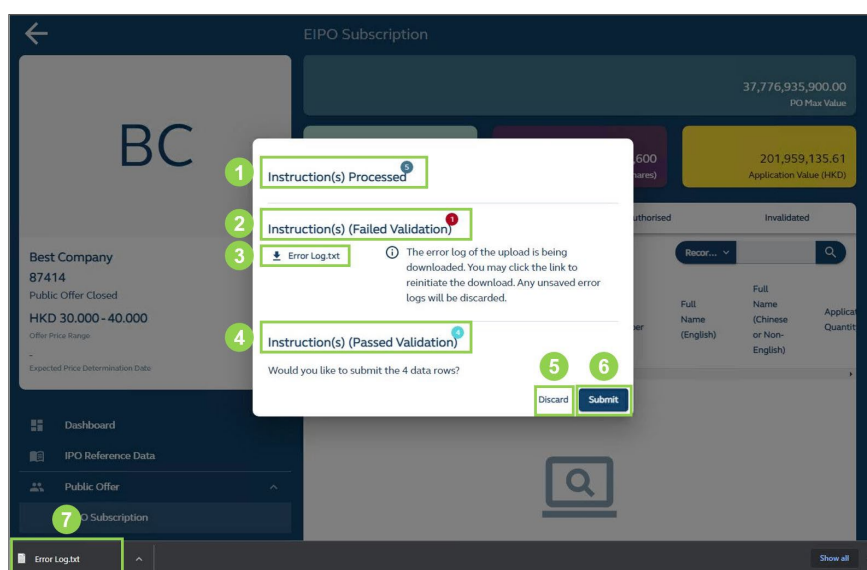


1 Discard: Discards the upload without saving any information.

2 Confirm: Submits the instruction(s) to the Pending Ledger.

⚠ Joint subscriptions are counted as multiple instructions, e.g. 4 applicants = 4 instructions.

Step 3b: Partially Successful Upload



1 Instruction(s) Processed: Displays the number of instruction(s) identified and processed by the system.

⚠ Joint subscriptions are counted as multiple instructions, e.g. 4 applicants = 4 instructions.

2 Instruction(s) Failed Validation: Displays the number of instruction(s) that failed the system's validation checks.

3 Error Log: Downloads a file detailing the errors identified by the system's validation checks (refer to [EIPO Bulk Upload \(Downsize\) Error Log](#) for specifications).

⚠ If an officially supported browser is used (see [Login](#)), the log will download automatically.

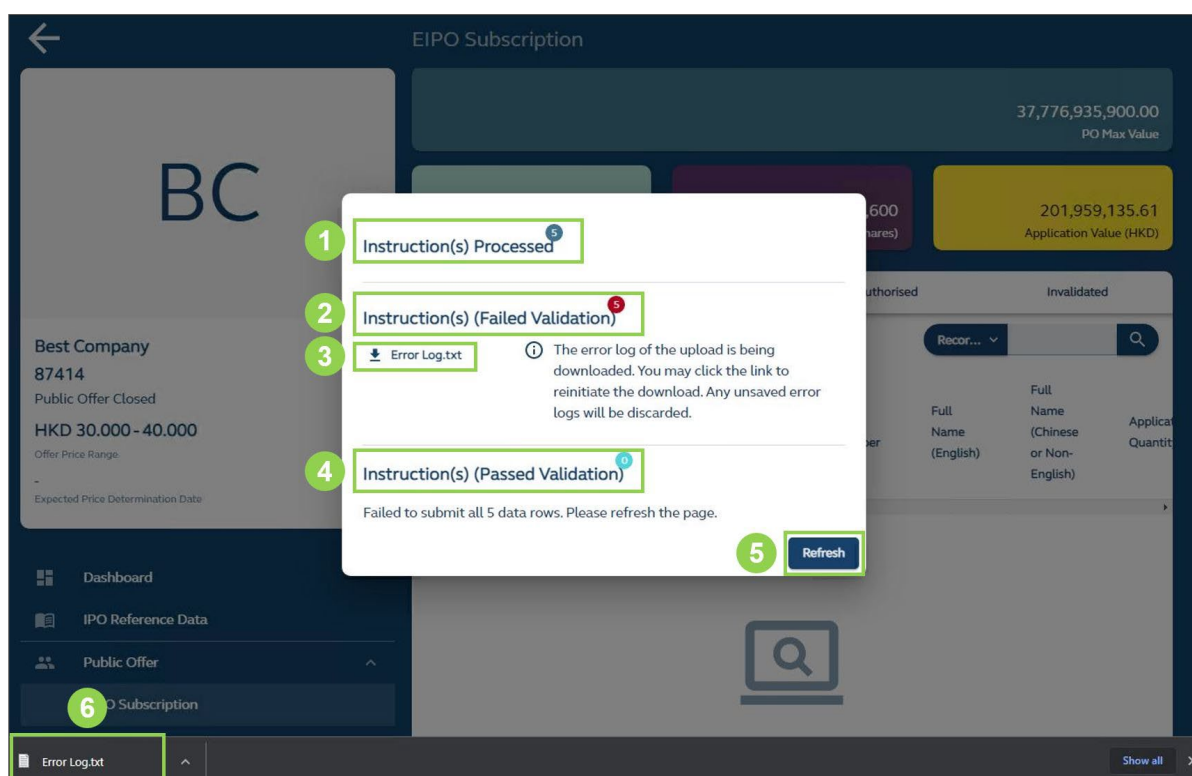
4 Instruction(s) Passed Validation: Displays the number of instruction(s) that passed the system's validation checks.

5 Discard: Discards the upload without saving any information.

6 Submit: Submits the instruction(s) that have passed validation checks to the Pending Ledger.

7 Automatic File Download: Contains the errors identified by the system's validation checks (refer to [EIPO Bulk Upload \(Downsize\) Error Log](#) for specifications).

Step 3c: Wholly Unsuccessful Upload



1 Instruction(s) Processed: Displays the number of instruction(s) identified and processed by the system.

⚠ Joint subscriptions are counted as multiple instructions, e.g. 4 applicants = 4 instructions.

2 Instruction(s) Failed Validation: Displays the number of instruction(s) that failed the system's validation checks.

3 Error Log: Downloads a file detailing the errors identified by the system's validation checks (refer to [EIPO Bulk Upload \(Downsize\) Error Log](#) for specifications).

⚠ If an officially supported browser is used (see [Login](#)), the log will download automatically.

4 Instruction(s) Passed Validation: Displays the number of instruction(s) that passed the system's validation checks (always 0 for wholly unsuccessful uploads).

5 Refresh: Refreshes the webpage to display the latest version of the interface.

6 Automatic File Download: Contains the errors identified by the system's validation checks (refer to [EIPO Bulk Upload \(Downsize\) Error Log](#) for specifications).

Step 4: Review and Approve Instruction(s)

The screenshot displays the 'EIPO Subscription' interface. At the top, it shows a total value of 37,776,935,900.00 (PO Max Value). Below this, three summary cards are visible: 49,986 Number of Applications (green), 4,998,600 Applied Quantity (Shares) (purple), and 201,959,135.61 Application Value (HKD) (yellow). The interface is divided into three tabs: 'Pending' (active), 'Authorised', and 'Invalidated'. In the 'Pending' tab, there are 'Revert' and 'Approve' buttons. A message states 'All 6 instructions are selected. Clear selection'. Below this is a table with columns: Action, Record ID, ID Type, ID Country / Jurisdiction, ID Number, Full Name (English), Full Name (Chinese or Non-English), and Application Quantity. The table contains four rows, all with 'Invalidation' actions and Record IDs starting with 0000000272249985B.

1 Revert (only available to checker users): Sends the instruction(s) back to the Interim Ledger.

⚠ Once an instruction has been sent back to the Interim Ledger, a checker user must wait for a maker user's re-submission before approving it.

2 Approve (only available to checker users): Authorises the instruction(s) for execution.


Action	Task
Change	Amends an existing subscription on the Authorised Ledger.
Invalidation	Removes an existing subscription on the Authorised Ledger (to the Invalidated Ledger).

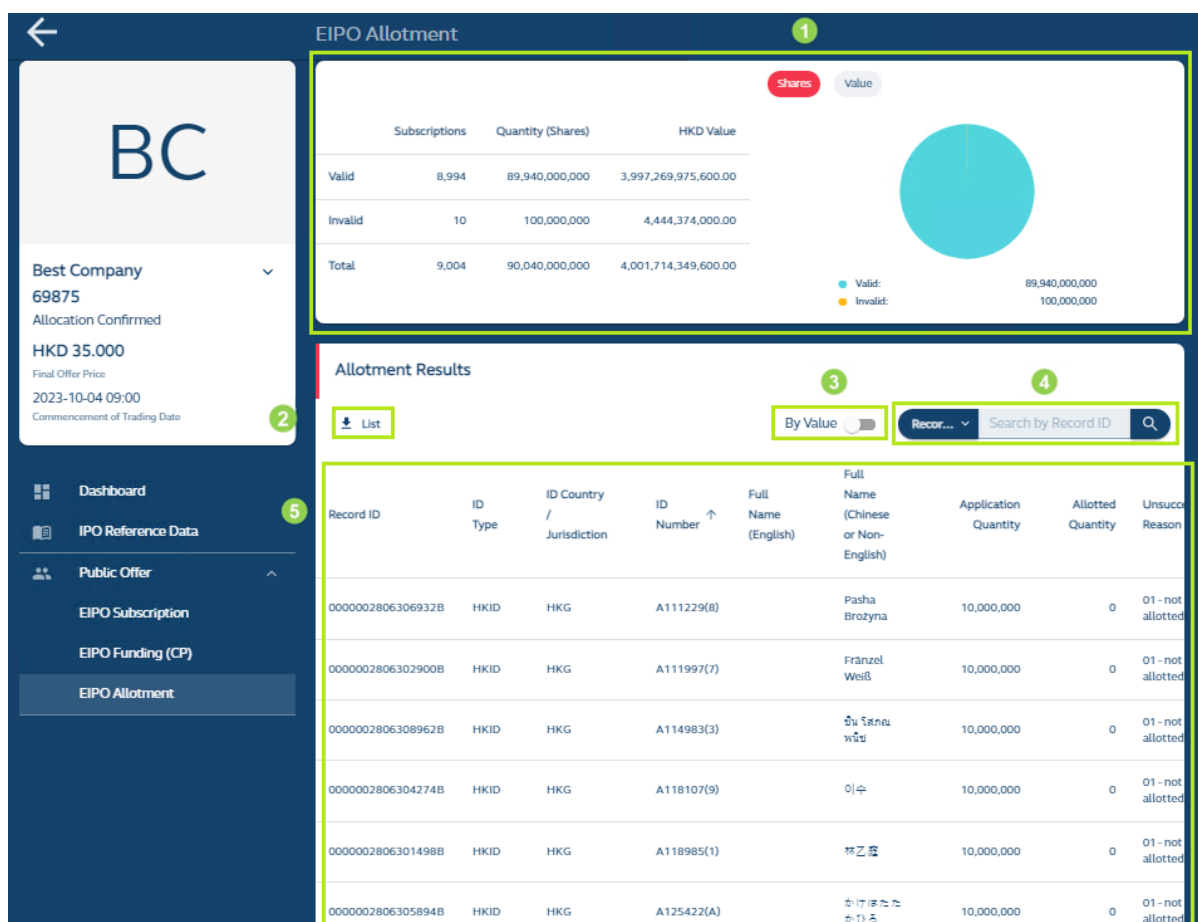
⚠ Once a checker user approves any number of instruction(s), the subscription list will become non-editable and any saved instruction(s) on the Interim / Pending Ledgers will be deleted. The HKSCC Participant's funding status will change to "Pending" for further assessment by its EIPO Designated Bank.

⚠ If the HKSCC Participant's EIPO Designated Bank rejects its pre-funding requirement again, then the user functions will be re-enabled for further downsizing / invalidation. The process can be performed as many times as required while the IPO case remains at "Public Offer Closed".

EIPO Allotment

The EIPO Allotment interface allows HKSCC Participants to view the allotment results of its subscriptions upon the IPO case reaching "Allocation Confirmed" (No later than 18:00, T).

 All allotment information presented on this interface will only become finalised upon the IPO case becomes unconditional, based on conditions set out in the issuer's prospectus.



The screenshot displays the EIPO Allotment interface. On the left is a sidebar with navigation options: Dashboard, IPO Reference Data, Public Offer, EIPO Subscription, EIPO Funding (CP), and EIPO Allotment (selected). The main content area is titled 'EIPO Allotment' and contains several components:

- 1 Summary Table:** A table showing subscription statistics.

	Subscriptions	Quantity (Shares)	HKD Value
Valid	8,994	89,940,000,000	3,997,269,975,600.00
Invalid	10	100,000,000	4,444,374,000.00
Total	9,004	90,040,000,000	4,001,714,349,600.00

 A pie chart to the right shows the distribution: Valid (89,940,000,000) and Invalid (100,000,000).
- 2 Data Report:** A button labeled 'List' with a download icon, used to download the CP EIPO Allotment Report.
- 3 Security Type / Value Toggle:** A toggle switch labeled 'By Value' (currently off) to switch between security type and value-based statistics.
- 4 Search Bar:** A search bar with a dropdown menu and a search icon, used to search the allotment results table.
- 5 Allotment Results Table:** A table listing individual allotment records.

Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	Allotted Quantity	Unsucc Reason
0000002806306932B	HKID	HKG	A111229(8)	Pasha Brozyna		10,000,000	0	01 - not allotted
0000002806302900B	HKID	HKG	A111997(7)	Fränzel Weiß		10,000,000	0	01 - not allotted
0000002806308962B	HKID	HKG	A114983(3)		พริษฐ์ วัชรสินธุ	10,000,000	0	01 - not allotted
0000002806304274B	HKID	HKG	A118107(9)		이준	10,000,000	0	01 - not allotted
0000002806301498B	HKID	HKG	A118985(1)		蔡乙聲	10,000,000	0	01 - not allotted
0000002806305894B	HKID	HKG	A125422(A)		和田洋平	10,000,000	0	01 - not allotted

1 Summary Table: Displays several tables containing the IPO case's latest reference data (see below for list of available data fields).

2 Data Report: Downloads the [CP EIPO Allotment Report](#), which is a .CSV file containing the HKSCC Participant's allotment results for the IPO case.

3 Security Type / Value Toggle: Configures the statistics within the allotment results table to display in terms of security type (e.g. 100 shares) **[Default]** or value (e.g. HKD 100).

4 Search Bar: Searches the allotment results table by a specific field, including: Full Name (English) **[Default]**, Full Name (Non-English or Chinese) or Record ID.

5 Allotment Results: Displays a table containing the HKSCC Participant’s subscriptions and their corresponding allotment results (see below for list of available data fields).

EIPO Allotment Data Fields

Allotment Results:

Field	Format	Length	Description								
Record ID	String	17	The original subscription’s Record ID.								
ID Type	String	40	The original subscription’s ID Type.								
ID Country / Jurisdiction	String	3	The original subscription’s ID Country / Jurisdiction.								
ID Number	String	40	The original subscription’s ID Number.								
Full Name (English)	String	150	The original subscription’s Full Name (English).								
Full Name (Chinese or Non-English)	String	150	The original subscription’s Full Name (Chinese or Non-English).								
Application Quantity	Integer	20	The number of securities subscribed in the original subscription. Hidden if 3 Security Type / Value Toggle is set to “Value.”								
Application Value	Decimal	20,2	The value of securities subscribed in the original subscription. Hidden if 3 Security Type / Value Toggle is set to “Security Type.”								
Allotted Quantity	Integer	20	The number of securities allotted to the subscription. Hidden if 3 Security Type / Value Toggle is set to “Value.”								
Allotted Value	Decimal	20,2	The value of securities (inclusive of fees) allotted to the subscription. Hidden if 3 Security Type / Value Toggle is set to “Security Type.”								
Unsuccessful Reason	String	40	If the subscription was not allotted any securities, the unsuccessful reason: <table border="1" data-bbox="735 1193 1382 1424"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>01 – Not allotted</td> </tr> <tr> <td>02 – Failed pre-funding</td> </tr> <tr> <td>03 – Duplicate application</td> </tr> <tr> <td>04 – Incomplete information</td> </tr> <tr> <td>05 – Invalid BCAN</td> </tr> <tr> <td>06 – EIPO default</td> </tr> <tr> <td>99 – Others</td> </tr> </tbody> </table> If the subscription was successfully allotted securities, this field will be blank.	Value	01 – Not allotted	02 – Failed pre-funding	03 – Duplicate application	04 – Incomplete information	05 – Invalid BCAN	06 – EIPO default	99 – Others
Value											
01 – Not allotted											
02 – Failed pre-funding											
03 – Duplicate application											
04 – Incomplete information											
05 – Invalid BCAN											
06 – EIPO default											
99 – Others											
Own File Reference	String	40	The original subscription’s Own File Reference.								

6. Data Specifications

This section covers the technical specifications for uploading files onto and downloading reports from the FINI platform. HKSCC Participants should be aware of their responsibility to promptly check and reconcile with its own records details of reports and to promptly notify HKSCC in writing of any error or omission contained in such advices, statements and reports within one business day of publication.

Please refer to Chapter 14 of the General Rules of HKSCC for further information.

To deliver high-speed and real-time downloading of all operational reports, the FINI Platform will impose two system restrictions for each user company:

Limitation	Restriction	Examples
Concurrent download limit	1 download for each report within an IPO case, applied on a per user company basis.	<p>If there is a user within Company ABC currently downloading IPO 123's "EIPO Allotment Report", any new download request by another Company ABC user will be placed in a queue.</p> <ul style="list-style-type: none"> ▪ The queuing restrictions <u>do not apply</u> when: <ol style="list-style-type: none"> (1) A Company ABC user is <u>downloading the same report of another IPO case</u>, e.g. IPO 456's "EIPO Allotment Report". (2) A Company ABC user is <u>downloading another report of the same IPO case</u>, e.g. IPO 123's "Public IPO Reference Data Report". (3) <u>A Company BCD user</u> is downloading the same report of the same IPO case.
Daily download limit	50 downloads for each report within an IPO case, applied on a per user company basis	<p>If Company ABC has already downloaded 50 "EIPO Allotment Reports" for IPO 123, any new download request by another Company ABC user would return the last downloaded snapshot.</p> <ul style="list-style-type: none"> ▪ The credit restrictions <u>do not apply</u> when: <ol style="list-style-type: none"> (1) A Company ABC user is <u>downloading the same report of another IPO case</u>, e.g. IPO 456's "EIPO Allotment Report". (2) A Company ABC user is <u>downloading another report of the same IPO case</u>, e.g. IPO 123's "Public IPO Reference Data Report". (3) <u>A Company BCD user</u> is downloading the same report of the same IPO case.

⚠ Since the restrictions apply on a per user company basis, each managed company under the same parent would be subject to independent system thresholds.

EIPO Bulk Upload File

The EIPO Bulk Upload File is used by maker users to upload instructions by bulk via the [EIPO Subscription](#) interface. It is a fixed-length data file containing:

- a header record;
- a control record; and
- 1 to 50,000 detailed record(s).

Data conventions:

Type	Length	Description	Example								
String	[n]	Fully UTF-8 encoded string characters, left-justified with trailing spaces unless otherwise stated.	<p>Field "Stock Code" has the following parameters:</p> <table border="1"> <thead> <tr> <th>Format</th> <th>Length</th> </tr> </thead> <tbody> <tr> <td>String</td> <td>10</td> </tr> </tbody> </table> <p>If the Stock Code is 9988 (exclude ' '):</p> <table border="1"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td>▪ '9988 '</td> <td>▪ ' 9988' ▪ '09988 ' ▪ '0000009988'</td> </tr> </tbody> </table>	Format	Length	String	10	Successful examples	Unsuccessful examples	▪ '9988 '	▪ ' 9988' ▪ '09988 ' ▪ '0000009988'
Format	Length										
String	10										
Successful examples	Unsuccessful examples										
▪ '9988 '	▪ ' 9988' ▪ '09988 ' ▪ '0000009988'										
Integer	[n]	Field digits only, right-justified with leading spaces unless otherwise stated.	<p>Field "ID Type" has the following parameters:</p> <table border="1"> <thead> <tr> <th>Format</th> <th>Length</th> </tr> </thead> <tbody> <tr> <td>Integer</td> <td>2</td> </tr> </tbody> </table> <p>If the submitter is inputting 2 (exclude ' '):</p> <table border="1"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td>▪ ' 2'</td> <td>▪ '2 ' ▪ '02'</td> </tr> </tbody> </table>	Format	Length	Integer	2	Successful examples	Unsuccessful examples	▪ ' 2'	▪ '2 ' ▪ '02'
Format	Length										
Integer	2										
Successful examples	Unsuccessful examples										
▪ ' 2'	▪ '2 ' ▪ '02'										

File format:

#	Value
File extension	.TXT
Encoding	UTF-8
Delimiter	[None]

Data Fields

Header record:

#	Field Name	Format	Length	Req.?	Description
1	Record Type	String	1	Yes	Should always be '0' for header record.
2	Participant ID	String	6	Yes	HKSCC Participants should provide their own Participant ID within this field.
3	Stock Code	String	10	No	The IPO's stock code. Mandatory if ISIN [Field #4] is blank.
4	ISIN	String	12	No	The IPO's ISIN. Mandatory if Stock Code [Field #3] is blank.
5	Own File Reference	String	15	No	Free text input reserved for HKSCC Participants.
6	Upload Date	String	8	Yes	Must be the current date, in "YYYYMMDD" format.
7	File Indicator	String	4	Yes	Unique indicator that cannot be re-used within the same calendar date per IPO case (via stock code / ISIN) per submitter. Only capital letters and numbers are accepted.
8	File ID	String	20	Yes	Always 'IPO UPL FILE ' (must have exactly 8 trailing spaces characters after 'IPO UPL FILE').

Detailed record(s):

#	Field Name	Format	Length	Req.?	Description								
1	Record Type	String	1	Yes	Should always be '1' for detailed record.								
2	Action	String	2	Yes	Must be one of the following values: <table border="1" data-bbox="919 1084 1551 1192"> <thead> <tr> <th>Value (excl. '')</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>'1'</td> <td>Addition</td> </tr> <tr> <td>'2'</td> <td>Change</td> </tr> <tr> <td>'3'</td> <td>Invalidation</td> </tr> </tbody> </table>	Value (excl. '')	Description	'1'	Addition	'2'	Change	'3'	Invalidation
Value (excl. '')	Description												
'1'	Addition												
'2'	Change												
'3'	Invalidation												

The subsequent validation rules are based on the field value of Action [Field #2].

Addition:

#	Field Name	Format	Length	Req.?	Description																		
3	Record ID	String	17	No	<p>Must be blank for addition action. Upon successful creation, FINI will generate a globally unique reference number for the subscription, containing a 16-digit integer and a single-string suffix to indicate the channel through which the subscription is created:</p> <ul style="list-style-type: none"> ▪ O = Online Input ▪ B = Bulk Upload ▪ A = API Request 																		
4	Number of Account Holders	Integer	2	Yes	The number of account holders for a joint account subscriber. If the instruction does not represent a joint account subscriber, the value must be 1. The maximum number is 4.																		
5	Joint Account Reference	String	10	No	<p>A reference number used to group data rows based on joint account holders within the Bulk Upload file. Mandatory only if Number of Account Holders [Field #4] > 1.</p> <p>Data rows having the same Joint Account Reference must share the same Number of Account Holders [Field #4], Application Quantity [Field #11], SEHK Participant ID [Field #12] and Own File Reference [Field #13]. Provide 10 space characters if blank.</p>																		
6	ID Type	Integer	2	Yes	<p>The type of identification document held by the subscriber. Must be one of the following values:</p> <table border="1"> <thead> <tr> <th>Value (excl. ' ')</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>' 1'</td> <td>HKID</td> </tr> <tr> <td>' 2'</td> <td>National identification document</td> </tr> <tr> <td>' 3'</td> <td>Passport</td> </tr> <tr> <td>' 4'</td> <td>LEI registration document</td> </tr> <tr> <td>' 5'</td> <td>Certificate of incorporation</td> </tr> <tr> <td>' 6'</td> <td>Business registration certificate</td> </tr> <tr> <td>' 7'</td> <td>Other official incorporation documents</td> </tr> <tr> <td>' 8'</td> <td>Broker-to-Client Assigned Number</td> </tr> </tbody> </table> <p>If Number of Account Holders [Field #4] > 1, then must be ' 1', ' 2' or ' 3'.</p>	Value (excl. ' ')	Description	' 1'	HKID	' 2'	National identification document	' 3'	Passport	' 4'	LEI registration document	' 5'	Certificate of incorporation	' 6'	Business registration certificate	' 7'	Other official incorporation documents	' 8'	Broker-to-Client Assigned Number
Value (excl. ' ')	Description																						
' 1'	HKID																						
' 2'	National identification document																						
' 3'	Passport																						
' 4'	LEI registration document																						
' 5'	Certificate of incorporation																						
' 6'	Business registration certificate																						
' 7'	Other official incorporation documents																						
' 8'	Broker-to-Client Assigned Number																						
7	ID Country / Jurisdiction	String	3	Yes	<p>The authority issuing the identification document held by the subscriber, represented in ISO-3166 Alpha-3 format, or 'OTH' to represent Other.</p> <p>If ID Type [Field #6] = ' 1' (HKID), then must be "HKG". If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), then must be "OTH".</p>																		
8	ID Number	String	40	Yes	<p>If ID Type [Field #6] = ' 1' (HKID), then must be a concatenation (no spaces) of:</p> <ul style="list-style-type: none"> ▪ Prefix: 1-2 uppercase alphabetical characters ▪ ID number: 6-digit integers ▪ Check digit: 0 to 9, or 'A', enclosed by parentheses <table border="1"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> ▪ Y123456(7) ▪ YZ123456(7) ▪ Y123456(A) </td> <td> <ul style="list-style-type: none"> ▪ Y123456 ▪ Y123456? ▪ Y1234567 </td> </tr> </tbody> </table>	Successful examples	Unsuccessful examples	<ul style="list-style-type: none"> ▪ Y123456(7) ▪ YZ123456(7) ▪ Y123456(A) 	<ul style="list-style-type: none"> ▪ Y123456 ▪ Y123456? ▪ Y1234567 														
Successful examples	Unsuccessful examples																						
<ul style="list-style-type: none"> ▪ Y123456(7) ▪ YZ123456(7) ▪ Y123456(A) 	<ul style="list-style-type: none"> ▪ Y123456 ▪ Y123456? ▪ Y1234567 																						

#	Field Name	Format	Length	Req.?	Description				
					<p>If Field #6 (ID Type) = ' 2' (National identification document) with ID Country / Jurisdiction = "CHN", then the ID Number must be either 15 or 18 characters</p> <p>If Field #6 (ID Type) = ' 4' (LEI registration document), then must be exactly 20 uppercase alphanumeric characters.</p> <p>If Field #6 (ID Type) = ' 8' (Broker-to-Client Assigned Number), must be in 'xxxxx.#####' format, where:</p> <ul style="list-style-type: none"> 'x' = a text string of exactly 6 uppercase alphanumeric characters '.' = a delimiter to separate "x" and "#" '#' = a positive integer up to 10 characters <table border="1"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> ABC123.1123456789 ABC123.112345678 </td> <td> <ul style="list-style-type: none"> ABC123.0000000000 ABC123.0000012345 </td> </tr> </tbody> </table> <p>If Field #6 (ID Type) = ' 2' (National identification document), ' 3' (Passport), ' 5' (Certificate of incorporation), ' 6' (Business registration certificate) or ' 7' (Other official incorporation documents), then no special business validation on format.</p>	Successful examples	Unsuccessful examples	<ul style="list-style-type: none"> ABC123.1123456789 ABC123.112345678 	<ul style="list-style-type: none"> ABC123.0000000000 ABC123.0000012345
Successful examples	Unsuccessful examples								
<ul style="list-style-type: none"> ABC123.1123456789 ABC123.112345678 	<ul style="list-style-type: none"> ABC123.0000000000 ABC123.0000012345 								
9	Full Name (English)	String	150	No	<p>Accept alphanumeric characters. If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), must be blank.</p> <p>If Full Name (Chinese or Non-English) [Field #10] = blank, must be non-blank. Provide 150 space characters if blank.</p>				
10	Full Name (Chinese or Non-English)	String	150	No	<p>Fully UTF-8 encoded. If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), must be blank.</p> <p>If Full Name (English) [Field #9] = blank, must be non-blank. Provide 150 space characters if blank.</p>				
11	Application Quantity	Integer	20	Yes	Must be a valid application quantity within the IPO's denomination table.				
12	SEHK Participant ID	String	5	Yes	Must be a valid SEHK Participant ID or '00000' (for SEHK) to identify the entity receiving the brokerage.				
13	Own Reference	String	40	No	Free text input reserved for HKSCC Participants. Provide 40 space characters if blank.				

Change:

#	Field Name	Format	Length	Req.?	Description				
3	Record ID	String	17	No	Must be a valid Record ID in HKSCC Participant's own EIPO application list.				
4	Number of Account Holders	Integer	2	Yes	The number of account holders for a joint account subscriber. If the instruction does not represent a joint account subscriber, the value must be 1. The maximum number is 4.				
5	Joint Account Reference	String	10	No	<p>A reference number used to group data rows based on joint account holders within the Bulk Upload file. Mandatory only if Number of Account Holders [Field #4] > 1.</p> <p>Data rows having the same Joint Account Reference must share the same Number of Account Holders [Field #4], Application Quantity [Field #11], SEHK Participant ID [Field #12] and Own File Reference [Field #13]. Provide 10 space characters if blank.</p>				
6	ID Type	Integer	2	Yes	<p>The type of identification document held by the subscriber. Must be one of the following values:</p> <table border="1"> <thead> <tr> <th>Value (excl. ' ')</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> </tr> </tbody> </table>	Value (excl. ' ')	Description		
Value (excl. ' ')	Description								

#	Field Name	Format	Length	Req.?	Description																
					<table border="1"> <tr><td>' 1'</td><td>HKID</td></tr> <tr><td>' 2'</td><td>National identification document</td></tr> <tr><td>' 3'</td><td>Passport</td></tr> <tr><td>' 4'</td><td>LEI registration document</td></tr> <tr><td>' 5'</td><td>Certificate of incorporation</td></tr> <tr><td>' 6'</td><td>Business registration certificate</td></tr> <tr><td>' 7'</td><td>Other official incorporation documents</td></tr> <tr><td>' 8'</td><td>Broker-to-Client Assigned Number</td></tr> </table> <p>If Number of Account Holders [Field #4] > 1, then must be ' 1', ' 2' or ' 3'.</p>	' 1'	HKID	' 2'	National identification document	' 3'	Passport	' 4'	LEI registration document	' 5'	Certificate of incorporation	' 6'	Business registration certificate	' 7'	Other official incorporation documents	' 8'	Broker-to-Client Assigned Number
' 1'	HKID																				
' 2'	National identification document																				
' 3'	Passport																				
' 4'	LEI registration document																				
' 5'	Certificate of incorporation																				
' 6'	Business registration certificate																				
' 7'	Other official incorporation documents																				
' 8'	Broker-to-Client Assigned Number																				
7	ID Country / Jurisdiction	String	3	Yes	<p>The authority issuing the identification document held by the subscriber, represented in ISO-3166 Alpha-3 format, or 'OTH' to represent Other.</p> <p>If ID Type [Field #6] = ' 1' (HKID), then must be "HKG". If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), then must be "OTH".</p>																
8	ID Number	String	40	Yes	<p>If ID Type [Field #6] = ' 1' (HKID), then must be a concatenation (no spaces) of:</p> <ul style="list-style-type: none"> Prefix: 1-2 uppercase alphabetical characters ID number: 6-digit integers Check digit: 0 to 9, or 'A', enclosed by parentheses <table border="1"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> Y123456(7) YZ123456(7) Y123456(A) </td> <td> <ul style="list-style-type: none"> Y123456 Y123456? Y1234567 </td> </tr> </tbody> </table> <p>If Field #6 (ID Type) = ' 2' (National identification document) with ID Country / Jurisdiction = "CHN", then the ID Number must be either 15 or 18 characters</p> <p>If Field #6 (ID Type 1) = ' 4' (LEI registration document), then must be exactly 20 uppercase alphanumeric characters.</p> <p>If Field #6 (ID Type 1) = ' 8' (Broker-to-Client Assigned Number), must be in 'xxxxxx.#####' format, where:</p> <ul style="list-style-type: none"> 'x' = a text string of exactly 6 uppercase alphanumeric characters '.' = a delimiter to separate "x" and "#" '#' = a positive integer up to 10 characters <table border="1"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> ABC123.1123456789 ABC123.112345678 </td> <td> <ul style="list-style-type: none"> ABC123.0000000000 ABC123.0000012345 </td> </tr> </tbody> </table> <p>If Field #6 (ID Type) = ' 2' (National identification document), ' 3' (Passport), ' 5' (Certificate of incorporation), ' 6' (Business registration certificate) or ' 7' (Other official incorporation documents), then no special business validation on format.</p>	Successful examples	Unsuccessful examples	<ul style="list-style-type: none"> Y123456(7) YZ123456(7) Y123456(A) 	<ul style="list-style-type: none"> Y123456 Y123456? Y1234567 	Successful examples	Unsuccessful examples	<ul style="list-style-type: none"> ABC123.1123456789 ABC123.112345678 	<ul style="list-style-type: none"> ABC123.0000000000 ABC123.0000012345 								
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<ul style="list-style-type: none"> ABC123.1123456789 ABC123.112345678 	<ul style="list-style-type: none"> ABC123.0000000000 ABC123.0000012345 																				
9	Full Name (English)	String	150	No	<p>Accept alphanumeric characters. If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), must be blank.</p>																

#	Field Name	Format	Length	Req.?	Description
					If Full Name (Chinese or Non-English) [Field #10] = blank, must be non-blank. Provide 150 space characters if blank.
10	Full Name (Chinese or Non-English)	String	150	No	Fully UTF-8 encoded. If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), must be blank. If Full Name (English) [Field #9] = blank, must be non-blank. Provide 150 space characters if blank.
11	Application Quantity	Integer	20	Yes	Must be a valid application quantity within the IPO's denomination table.
12	SEHK Participant ID	String	5	Yes	Must be a valid SEHK Participant ID or '00000' (for SEHK) to identify the entity receiving the brokerage.
13	Own Reference	String	40	No	Free text input reserved for HKSCC Participants. Provide 40 space characters if blank.

Invalidation:

#	Field Name	Format	Length	Req.?	Description
3	Record ID	String	17	No	Must be a valid Record ID in HKSCC Participant's own EIPO application list.
4	Number of Account Holders	Integer	2	Yes	Must be blank. Provide 2 space characters.
5	Joint Account Reference	String	10	No	Must be blank. Provide 10 space characters.
6	ID Type	Integer	2	Yes	Must be blank. Provide 2 space characters.
7	ID Country / Jurisdiction	String	3	Yes	Must be blank. Provide 3 space characters.
8	ID Number	String	40	Yes	Must be blank. Provide 40 space characters.
9	Full Name (English)	String	150	No	Must be blank. Provide 150 space characters.
10	Full Name (Chinese or Non-English)	String	150	No	Must be blank. Provide 150 space characters.
11	Application Quantity	Integer	20	Yes	Must be blank. Provide 20 space characters.
12	SEHK Participant ID	String	5	Yes	Must be blank. Provide 5 space characters.
13	Own Reference	String	40	No	Must be blank. Provide 40 space characters.

Control record:

#	Field Name	Format	Length	Req.?	Description
1	Record Type	String	1	Yes	Should always be '9' for control record.
2	Total Number of Detailed Records	Integer	32	Yes	Must match the total number of detailed records
3	Total Application Quantity	Integer	32	Yes	Sum of Application Quantity within detailed records. Joint subscribers are counted multiple times.

Sample**Header record:**

#	1	2	3	4	5	6	7	8
Field Name	Record Type	Participant ID	Stock Code	ISIN	Own Reference	Upload Date	File Indicator	File ID

Length	1	6	10	12	15	8	4	20
Value	0	C00005	9595			20220811	AB12	IPO UPL FILE

Detailed record(s):

#	1	2	3	4	5	6	7	8	9	10	11	12	13
Field Name	Record Type	Action	Record ID	Number of Account Holders	Joint Account Reference	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	SEHK Participant ID	Own File Reference
Length	1	2	17	2	10	2	3	40	150	150	20	5	40
Value	1	1		1		1	HKG	V458746(4)	Emily Zhao		200	00000	
	1	1		2	M2vsq7JDNC	1	HKG	F192400(8)	Jerry Bai		1000	00000	
	1	1		2	M2vsq7JDNC	1	HKG	P292332(0)	Carolyn Gao	高煦涵	1000	00000	
	1	1		1		1	HKG	Y420351(6)	Ashley Meng		400	00000	
	1	2	3771409870731418B	1		1	HKG	M937539(8)	Charles Zhou		3000	00000	
	1	2	5330321211778203B	2	Q1bFLso28x	1	HKG	S957701(9)	Alan Qiao		600	00000	
	1	2	5330321211778203B	2	Q1bFLso28x	1	HKG	J415675(4)	Aaron Han		600	00000	
	1	2	6406557222533150B	1		4	OTH	8274001NTN QJAJ60HM02	Best IPO Investments Ltd		10000	00000	
	1	3	5814168481386212B										
	1	3	5512402066579845B										

Control record:

#	1	2	3
Field Name	Record Type	Total Number of Detailed Records	Total Application Quantity
Length	1	32	32
Value	9	10	16800

Data file (copy into a text editor for a better view):

0C000059595	202208011B12IPO UPL FILE		
11	1 1HKG458746(4)	Emily Zhao	20000000
11	2M2vsq7JDNC 1HKG192400(8)	Jerry Bai	100000000
11	2M2vsq7JDNC 1HKG292332(0)	Carolyn Gao	100000000
11	1 1HKG420351(6)	Ashley Meng	40000000
12	3771409870731418B 1 1HKG937539(8)	Charles Zhou	300000000

12 53303212117782038 2Q1bFLso28x 1HKGS957701(9)	Alan Qiao	60000000
12 53303212117782038 2Q1bFLso28x 1HKGJ4 15675(4)	Aaron Han	60000000
12 8406557222531508 1 40TH6274001NTNQJAJ60HM02	Best IPO Investments Ltd	1000000000
13 5814168481386212B		
13 5512402066579845B		
9	10	16800

EIPO Bulk Upload Error Log

The EIPO Bulk Upload Error Log is generated for maker users when an EIPO Bulk Upload File submitted via the [EIPO Subscription](#) interface has been identified with error(s). The display format of error log the varies between scenarios:

#	Scenario	Due to...	Reason	Outcome
1	Upload file <u>wholly rejected</u>	...	≥1 error(s) identified within <u>the header record</u>	Only the original header is displayed, with each corresponding error listed row-by-row: <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Original header record in EIPO Bulk Upload File] [Error #1] [Error #2] [...] </div>
2	Upload file <u>wholly rejected</u>	...	≥1 error(s) identified within <u>the control record</u>	Only the control record is displayed, with each corresponding error listed row-by-row: <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Original control record in EIPO Bulk Upload File] [Error #1] [Error #2] [...] </div>
3	Upload file <u>wholly rejected</u>	...	≥1 error(s) identified within <u>the header and control records</u>	Only the original header is displayed, with each corresponding error listed row-by-row: <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Original header record in EIPO Bulk Upload File] [Error #1] [...] [Original control record in EIPO Bulk Upload File] [Error #1] [...] </div>
4	Upload file <u>wholly rejected</u>	...	≥1 error(s) identified across <u>all detailed records</u>	All detailed records with error(s) displayed, with each corresponding error listed row-by-row: <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Detailed Record #1] [Error #1] [Error #2] [...] [Detailed Record #2] [Error #1] [Error #2] [...] </div>

5	Upload file partially rejected	...	≥1 error(s) identified across some detailed records	<p>Only detailed records identified with error(s) displayed, with each corresponding error listed row-by-row (example below: Detailed Record #1 passed validation):</p> <table border="1"> <tr> <td>[Detailed Record #2]</td> </tr> <tr> <td>[Error #1]</td> </tr> <tr> <td>[Error #2]</td> </tr> <tr> <td>[...]</td> </tr> </table>	[Detailed Record #2]	[Error #1]	[Error #2]	[...]
[Detailed Record #2]								
[Error #1]								
[Error #2]								
[...]								

Error Codes

#	System Message	Rejection type
2001	Invalid record type identified within file.	Whole
2002	Record Type cannot be left blank.	Whole (Field in the Header)
2003	Participant ID cannot be left blank.	Whole (Field in the Header)
2004	Upload Date cannot be left blank.	Whole (Field in the Header)
2005	File Indicator cannot be left blank.	Whole (Field in the Header)
2006	File ID cannot be left blank.	Whole (Field in the Header)
2007	Record Type cannot be left blank.	Whole (Field in the Control)
2008	Total Number of Detailed Records cannot be left blank.	Whole (Field in the Control)
2009	Total Application Quantity cannot be left blank.	Whole (Field in the Control)
2010	Header record length must have a length of 76 characters.	Whole
2011	Header record missing within file.	Whole
2012	Multiple header records (must be one) identified within file	Whole
2013	Invalid Participant ID within header record.	Whole
2014	Either ISIN or Stock Code cannot be empty.	Whole
2015	Invalid ISIN (must be left justified with no leading zeroes) within header record.	Whole
2016	Invalid Stock Code or ISIN within header record.	Whole
2017	Invalid Stock Code (must be left justified with no leading zeroes) within header record.	Whole
2018	Invalid Upload Date format (must be 'YYYYMMDD') within header record.	Whole
2019	Invalid Upload Date (must be current day in HKT).	Whole
2020	File Indicator cannot be re-used within the same day.	Whole
2021	Incorrect format (only capital English letters or numbers are allowed), please upload again.	Whole
2022	File ID must be "IPO UPL FILE".	Whole
2023	Invalid control record length within the file.	Whole
2024	Control record missing within file.	Whole
2025	Multiple control records (must be one) identified within file.	Whole

#	System Message	Rejection type
2026	Invalid format for Total Number of Detailed Records.	Whole
2027	The total number of detailed record(s) found within file does not equal to Total Number of Detailed Records in the control record.	Whole
2028	Invalid format for Total Application Quantity	Whole
2029	The total sum of application quantity across detailed Records' Application Quantity found in the file does not equal to the Total Application Quantity in the control record.	Whole
2030	Record Type cannot be left blank.	Individual (Field in the Detail Record)
2031	Action cannot be left blank.	Individual (Field in the Detail Record)
2032	Record ID cannot be left blank.	Individual (Field in the Detail Record)
2033	Number of Account Holders cannot be left blank.	Individual (Field in the Detail Record)
2034	Joint Account Reference cannot be left blank.	Individual (Field in the Detail Record)
2035	ID Type cannot be left blank.	Individual (Field in the Detail Record)
2036	ID Country / Jurisdiction cannot be left blank.	Individual (Field in the Detail Record)
2037	ID Number cannot be left blank.	Individual (Field in the Detail Record)
2038	Application Quantity cannot be left blank.	Individual (Field in the Detail Record)
2039	SEHK Participant ID cannot be left blank.	Individual
2040	Detailed record length must have a length of 442 characters.	Individual
2041	Detailed record(s) missing within file.	Whole
2042	Invalid Action within detailed record.	Individual
2043	The Record ID of addition data rows must be blank.	Individual
2044	Must be a valid Record ID under Authorised status.	Individual
2045	The Record ID cannot be duplicated against records in Pending status.	Individual
2046	Invalid format for Number of Account Holders.	Individual
2047	Invalid Number of Account Holders within detailed record (must be 1 to 4).	Individual
2048	Number of Account Holders for invalidation data rows must be blank.	Individual
2049	Invalid ID Type within detailed record.	Individual
2050	ID Type for invalidation data rows must be blank	Individual
2051	ID Country / Jurisdiction must be 'HKG' for ID Type 1.	Individual
2052	ID Country / Jurisdiction must be 'OTH' for ID Type 8.	Individual
2053	Invalid format for ID Country / Jurisdiction.	Individual
2054	ID Country / Jurisdiction for invalidation data rows must be blank.	Individual
2055	Invalid HKID identified in ID Number (must be in the same format as the document, including brackets).	Individual
2089	Invalid Chinese ID (must be either 15 or 18 characters).	Individual
2056	Invalid LEI (must be exactly 20 uppercase alphanumeric characters).	Individual
2057	Invalid format for Broker-to-Client Assigned Number as ID Number (must include the CE number and BCAN, delimited by ".")	Individual

#	System Message	Rejection type
2058	ID Number for invalidation data rows must be blank.	Individual
2059	If Full Name (Chinese or Non-English) is blank, Full Name (English) must be non-blank.	Individual
2060	Only English letters and special characters are permitted.	Individual
2061	Full Name (English) for ID Type 8 must be blank.	Individual
2062	Full Name (English) for invalidation data rows must be blank.	Individual
2063	If Full Name (English) is blank, Full Name (Chinese or Non-English) must be non-blank.	Individual
2064	Full Name (Chinese or Non-English) for invalidation data rows must be blank.	Individual
2065	Full Name (Chinese or Non-English) for ID Type 8 must be blank.	Individual
2066	Invalid characters are not permitted.	Individual
2067	Invalid format for Application Quantity.	Individual
2068	Application Quantity must be a figure listed under denomination table.	Individual
2069	Application Quantity for invalidation data rows must be blank.	Individual
2070	Must be a valid SEHK Participant ID without leading zeroes.	Individual
2071	SEHK Participant ID for invalidation data rows must be blank.	Individual
2072	Own file reference for invalidation instructions must be blank.	Individual
2073	The number of data rows having same Joint Account Reference must be the same as the Number of Account Holders.	Individual
2074	Data rows sharing the same Joint Account Reference must have the same Application Quantity.	Individual
2075	Data rows sharing the same Joint Account Reference must have the same SEHK Participant ID.	Individual
2076	Data rows sharing the same Joint Account Reference must have the same Own File Reference.	Individual
2077	Another data row sharing the same Joint Account Reference did not pass the required validation checks.	Individual
2078	Joint Account Reference for invalidation instructions must be blank.	Individual
2079	The deadline for uploading EIPO subscription has passed.	Whole
2080	Incorrect format (.TXT only), please upload again.	Whole
2081	File size cannot exceed 25mb, please upload again.	Whole
2082	The number of detailed records cannot exceed 50,000, please upload again.	Whole
2083	The Record ID cannot be duplicated against records in the current batch of submissions.	Individual
2084	Your EIPO Enquire Only Status has been changed. Please contact HKSCC for any enquiries.	Whole
2085	Data rows sharing the same Joint Account Reference must have the same Record ID.	Individual
2086	Data rows sharing the same Joint Account Reference must not have duplicate applicant information.	Individual
2087	The system has no record of your designated bank supporting [currency] settlement for the IPO of [IPO Company Name].	Whole
2088	Data rows sharing the same Joint Account Reference must have the same Action.	Individual

Samples

For the examples below, the fields identified with errors are highlighted in **red** for better identification (where possible). Copying the data records into a text editor is also recommended for a better view.

Scenario #1: Upload file wholly rejected due to ≥1 error(s) identified within the header record

EIPO Bulk Upload File					
4C000059596				20210804ABCDIPO UPL FILE	
11	1	1HKGV458746(4)	Emily Zhao		500000
11	1	1HKGY420351(6)	Ashley Meng		500000
9	2	1000000			
EIPO Bulk Upload Error Log					
4C000059596				20210804ABCDIPO UPL FILE	
2001: Invalid record type identified within file.					
2016: Invalid Stock Code or ISIN within header record.					

Scenario #2: Upload file wholly rejected due to ≥1 error(s) identified within the control record

EIPO Bulk Upload File					
0C000059595				20210804ABCDIPO UPL FILE	
11	1	1HKGV458746(4)	Emily Zhao		500000
11	1	1HKGY420351(6)	Ashley Meng		500000
9	2				
EIPO Bulk Upload Error Log					
9	2				
2009: Total Application Quantity cannot be left blank.					

Scenario #3: Upload file wholly rejected due to ≥1 error(s) identified within the header and control records

EIPO Bulk Upload File					
4C000059596				20210804ABCDIPO UPL FILE	
11	1	1HKGV458746(4)	Emily Zhao		500000
11	1	1HKGY420351(6)	Ashley Meng		500000
9	2				
EIPO Bulk Upload Error Log					
4C000059596				20210804ABCDIPO UPL FILE	
2001: Invalid record type identified within file.					
2016: Invalid Stock Code or ISIN within header record.					
9	2				
2009: Total Application Quantity cannot be left blank.					

Scenario #4: Upload file wholly rejected due to ≥1 error(s) identified across all detailed records

EIPO Bulk Upload File					
0C000059595			20210804ABCDIPO UPL FILE		
11	1	1twvV458746(4)	Emily Zhao		500000
11	1	1hkgY420351(6)	Ashley Meng		500000
9	2	1000000			
EIPO Bulk Upload Error Log					
11	1	1twvV458746(4)	Emily Zhao		500000
2051: ID Country / Jurisdiction must be 'HKG' for ID Type 1.					
2053: Invalid format for ID Country / Jurisdiction.					
11	1	1hkgY420351(6)	Ashley Meng		500000
2053: Invalid format for ID Country / Jurisdiction.					

Scenario #5: Upload file partially rejected due to ≥1 error(s) identified across some detailed records

EIPO Bulk Upload File					
0C000059595			20210804ABCDIPO UPL FILE		
11	1	1twvV458746(4)	Emily Zhao		500000
11	1	1HKGY420351(6)	Ashley Meng		500000
9	2	1000000			
EIPO Bulk Upload Error Log					
11	1	1twvV458746(4)	Emily Zhao		500000
2051: ID Country / Jurisdiction must be 'HKG' for ID Type 1.					
2053: Invalid format for ID Country / Jurisdiction.					

EIPO Bulk Upload File (Downsize)

The EIPO Bulk Upload File is used by maker users to upload instructions by bulk via the [EIPO Subscription](#) interface to resolve exceptions during the public offer funding confirmation process. It is a fixed-length data file containing:

- a header record;
- a control record; and
- 1 to 50,000 detailed record(s).

Data conventions:

Type	Length	Description	Example								
String	[n]	Fully UTF-8 encoded string characters, left-justified with trailing spaces unless otherwise stated.	<p>Field "Stock Code" has the following parameters:</p> <table border="1"> <thead> <tr> <th>Format</th> <th>Length</th> </tr> </thead> <tbody> <tr> <td>String</td> <td>10</td> </tr> </tbody> </table> <p>If the Stock Code is 9988 (exclude ' '):</p> <table border="1"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> ▪ '9988 ' </td> <td> <ul style="list-style-type: none"> ▪ ' 9988' ▪ '09988 ' ▪ '000009988' </td> </tr> </tbody> </table>	Format	Length	String	10	Successful examples	Unsuccessful examples	<ul style="list-style-type: none"> ▪ '9988 ' 	<ul style="list-style-type: none"> ▪ ' 9988' ▪ '09988 ' ▪ '000009988'
Format	Length										
String	10										
Successful examples	Unsuccessful examples										
<ul style="list-style-type: none"> ▪ '9988 ' 	<ul style="list-style-type: none"> ▪ ' 9988' ▪ '09988 ' ▪ '000009988' 										
Integer	[n]	Field digits only, right-justified with leading spaces unless otherwise stated.	<p>Field "ID Type" has the following parameters:</p> <table border="1"> <thead> <tr> <th>Format</th> <th>Length</th> </tr> </thead> <tbody> <tr> <td>Integer</td> <td>2</td> </tr> </tbody> </table> <p>If the submitter is inputting 2 (exclude ' '):</p> <table border="1"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> ▪ '2' </td> <td> <ul style="list-style-type: none"> ▪ '2' ▪ '02' </td> </tr> </tbody> </table>	Format	Length	Integer	2	Successful examples	Unsuccessful examples	<ul style="list-style-type: none"> ▪ '2' 	<ul style="list-style-type: none"> ▪ '2' ▪ '02'
Format	Length										
Integer	2										
Successful examples	Unsuccessful examples										
<ul style="list-style-type: none"> ▪ '2' 	<ul style="list-style-type: none"> ▪ '2' ▪ '02' 										

File format:

#	Value
File extension	.TXT
Encoding	UTF-8
Delimiter	[None]

Data Fields**Header record:**

#	Field Name	Format	Length	Req.?	Description
1	Record Type	String	1	Yes	Should always be '0' for header record.
2	Participant ID	String	6	Yes	HKSCC Participants should provide their own Participant ID within this field.
3	Stock Code	String	10	No	The IPO's stock code. Mandatory if ISIN [Field #4] is blank.
4	ISIN	String	12	No	The IPO's ISIN. Mandatory if Stock Code [Field #3] is blank.
5	Own File Reference	String	15	No	Free text input reserved for HKSCC Participants.
6	Upload Date	String	8	Yes	Must be the current date, in "YYYYMMDD" format.
7	File Indicator	String	4	Yes	Unique indicator that cannot be re-used within the same calendar date per IPO case (via stock code / ISIN) per submitter. Only capital letters and numbers are accepted.
8	File ID	String	20	Yes	Always 'IPO DOWNSIZE FILE ' (must have exactly 3 trailing spaces characters after 'IPO DOWNSIZE FILE ').

Detailed record(s):

#	Field Name	Format	Length	Req.?	Description						
1	Record Type	String	1	Yes	Should always be '1' for detailed record.						
2	Action	String	2	Yes	Must be one of the following values: <table border="1" data-bbox="919 1117 1549 1198"> <thead> <tr> <th>Value (excl. '')</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>'2'</td> <td>Change</td> </tr> <tr> <td>'3'</td> <td>Invalidation</td> </tr> </tbody> </table>	Value (excl. '')	Description	'2'	Change	'3'	Invalidation
Value (excl. '')	Description										
'2'	Change										
'3'	Invalidation										
3	Record ID	String	17	Yes	Must be a valid Record ID in HKSCC Participant's own EIPO application list.						
4	Application Quantity	Integer	20	No	<p>If Action [Field #2] = '2' (Change), then must be a valid application quantity that is:</p> <ul style="list-style-type: none"> ▪ within the IPO's denomination table; and ▪ a figure equal or lesser than the original subscription under "Authorised". <p>If Action [Field #2] = '3' (Invalidation), then must be blank.</p>						

Control record:

#	Field Name	Format	Length	Req.?	Description
1	Record Type	String	1	Yes	Should always be '9' for control record.
2	Total Number of Detailed Records	Integer	32	Yes	Must match the total number of detailed records
3	Total Application Quantity	Integer	32	Yes	Sum of Application Quantity within detailed records. Joint subscribers are counted multiple times.

EIPO Bulk Upload (Downsize) Error Log

The EIPO Bulk Upload (Downsize) Error Log is generated for maker users when an EIPO Bulk Upload File (Downsize) submitted via the [EIPO Subscription](#) interface has been identified with error(s). The display format of error log the varies between scenarios:

#	Scenario	Due to...	Reason	Outcome
1	Upload file <u>wholly rejected</u>	...	≥1 error(s) identified within <u>the header record</u>	Only the original header is displayed, with each corresponding error listed row-by-row: <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Original header record in EIPO Bulk Upload File] [Error #1] [Error #2] [...] </div>
2	Upload file <u>wholly rejected</u>	...	≥1 error(s) identified within <u>the control record</u>	Only the control record is displayed, with each corresponding error listed row-by-row: <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Original control record in EIPO Bulk Upload File] [Error #1] [Error #2] [...] </div>
3	Upload file <u>wholly rejected</u>	...	≥1 error(s) identified within <u>the header and control records</u>	Only the original header is displayed, with each corresponding error listed row-by-row: <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Original header record in EIPO Bulk Upload File] [Error #1] [...] [Original control record in EIPO Bulk Upload File] [Error #1] [...] </div>
4	Upload file <u>wholly rejected</u>	...	≥1 error(s) identified across <u>all detailed records</u>	All detailed records with error(s) displayed, with each corresponding error listed row-by-row: <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Detailed Record #1] [Error #1] [Error #2] [...] [Detailed Record #2] [Error #1] [Error #2] [...] </div>
5	Upload file <u>partially rejected</u>	...	≥1 error(s) identified across <u>some detailed records</u>	Only detailed records identified with error(s) displayed, with each corresponding error listed row-by-row (example below: Detailed Record #1 passed validation): <div style="border: 1px solid black; padding: 5px; width: fit-content;"> [Detailed Record #2] [Error #1] [Error #2] [...] </div>

Error Codes

#	System Message	Rejection type
4001	Invalid record type identified within file.	Whole
4002	Record Type cannot be left blank.	Whole (Field in the Header)
4003	Participant ID cannot be left blank.	Whole (Field in the Header)
4004	Upload Date cannot be left blank.	Whole (Field in the Header)
4005	File Indicator cannot be left blank.	Whole (Field in the Header)
4006	File ID cannot be left blank.	Whole (Field in the Header)
4007	Record Type cannot be left blank.	Whole (Field in the Control)
4008	Total Number of Detailed Records cannot be left blank.	Whole (Field in the Control)
4009	Total Application Quantity cannot be left blank.	Whole (Field in the Control)
4010	Header record length must have a length of 76 characters.	Whole
4011	Header record missing within file.	Whole
4012	Multiple header records (must be one) identified within file	Whole
4013	Invalid Participant ID within header record.	Whole
4014	Either ISIN or Stock Code cannot be empty.	Whole
4015	Invalid ISIN (must be left justified with no leading zeroes) within header record.	Whole
4016	Invalid Stock Code or ISIN within header record.	Whole
4017	Invalid Stock Code (must be left justified with no leading zeroes) within header record.	Whole
4018	Invalid Upload Date format (must be 'YYYYMMDD') within header record.	Whole
4019	Invalid Upload Date (must be current day in HKT).	Whole
4020	File Indicator cannot be re-used within the same day.	Whole
4021	Incorrect format (only capital English letters or numbers are allowed), please upload again.	Whole
4023	Invalid control record length within the file.	Whole
4024	Control record missing within file.	Whole
4025	Multiple control records (must be one) identified within file.	Whole
4026	Invalid format for Total Number of Detailed Records.	Whole
4027	The total number of detailed record(s) found within file does not equal to Total Number of Detailed Records in the control record.	Whole
4028	Invalid format for Total Application Quantity	Whole
4029	The total sum of application quantity across detailed Records' Application Quantity found in the file does not equal to the Total Application Quantity in the control record.	Whole
4030	Record Type cannot be left blank.	Individual
4031	Action cannot be left blank.	Individual
4032	Record ID cannot be left blank.	Individual

#	System Message	Rejection type
4038	Application Quantity cannot be left blank.	Individual
4041	Detailed record(s) missing within file.	Whole
4042	Invalid Action within detailed record.	Individual
4044	Must be a valid Record ID under Authorised status.	Individual
4045	The Record ID cannot be duplicated against records in pending status.	Individual
4067	Invalid format for Application Quantity.	Individual
4068	Application Quantity must be a figure listed under denomination table.	Individual
4069	Application Quantity for invalidation data rows must be blank.	Individual
4080	Incorrect format (.TXT only), please upload again.	Whole
4081	File size cannot exceed 25mb, please upload again.	Whole
4082	Number of detailed records cannot exceed 50,000, please upload again.	Whole
4083	The Record ID cannot be duplicated against records in the current batch of submissions.	Individual
4101	The deadline for revising your EIPO Subscription List has passed.	Whole
4102	There are instructions that have been updated by another user. Please refresh the current page.	Whole
4103	Detailed record length must have a length of 40 characters.	Individual
4104	The Application Quantity of this Record ID is already one Trading Board Lot. It cannot be downsized.	Individual
4105	Application Quantity must be a figure equal or lesser than the original record.	Individual
4106	File ID must be "IPO DOWNSIZE FILE ".	Whole

Public IPO Reference Data Report

The Public IPO Reference Data Report allows HKSCC Participants to download the latest reference data recorded within the IPO case. It is accessible on the [IPO Reference Data](#) interface.

Setup

Report Name	FINI - REF DATA 02 Public [#####] [YYYYMMDDHHMM]
Description	##### = Stock Code YYYYMMDDHHMM = Report generation timestamp
Availability	On-demand
Format	.ZIP (with 4 .CSV files)

Data Fields

Within the .ZIP file are 5 separate .CSV files, each with the same file formats. Each data table below represents the specifications for each .CSV file.

The fields within each table are subject to the following special handling:

#	Scenario	Recorded value within table
1	Not applicable under the IPO case's Offering Type	Not Applicable
2	Not available as the IPO case has not reached the status to a user function's start time	Not Ready
3	Available but not assigned any value by a user or the system	[Blank]

For fields marked with "[Security type]" and "[Security type holder]", the display fields changes according to the "Securities to be Listed" below:

Securities to be Listed	[Security type]	[Security type holder]
Ordinary shares	Shares	Shareholders
Ordinary shares (H shares)		
Ordinary shares (conversion from B to H shares)		
Preference shares		
Real Estate Investment Trust	Units	Unitholders

Exchange Traded Product		
Depository Receipts	Receipts	DR Holders
Stapled Securities	Units	Unitholders
[Others (free input)]	Shares	Shareholders

File format:

#	Value
File extension	.CSV
Encoding	UTF-8
Delimiter	, (comma)
Enclosed	" " (double-quotes)

Reference Data.csv:

#	Column Name	Format	Length	Value																	
1	Relaunched Deal Indicator	String	1	Used to indicate whether this IPO case is a previous one that has since relaunched.																	
2	Existing Listed Company Indicator	String	1	Used to indicate whether this IPO case is operated by an existing listed company.																	
3	Company Name (English Full)	String	80	The IPO Company's full English name.																	
4	Company Name (English Short)	String	15	The IPO Company's short English name.																	
5	Company Name (Chinese Full)	String	80	The IPO Company's full Chinese name.																	
6	Company Name (Chinese Short)	String	8	The IPO Company's short Chinese name.																	
7	Stock Code	String	10	The IPO's stock code.																	
8	ISIN	String	12	The IPO's ISIN.																	
9	Place of Incorporation	String	40	The IPO Company's place of incorporation: <table border="1" data-bbox="1008 974 1575 1412"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr><td>Bermuda</td></tr> <tr><td>Cayman Islands</td></tr> <tr><td>Hong Kong, China</td></tr> <tr><td>People's Republic of China</td></tr> <tr><td>Australia</td></tr> <tr><td>British Virgin Islands</td></tr> <tr><td>Canada – Alberta</td></tr> <tr><td>Canada – British Columbia</td></tr> <tr><td>Canada – Ontario</td></tr> <tr><td>England</td></tr> <tr><td>Israel</td></tr> <tr><td>Italy</td></tr> <tr><td>Japan</td></tr> <tr><td>Jersey</td></tr> <tr><td>Luxembourg</td></tr> <tr><td>Singapore</td></tr> </tbody> </table>	Value	Bermuda	Cayman Islands	Hong Kong, China	People's Republic of China	Australia	British Virgin Islands	Canada – Alberta	Canada – British Columbia	Canada – Ontario	England	Israel	Italy	Japan	Jersey	Luxembourg	Singapore
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Japan																					
Jersey																					
Luxembourg																					
Singapore																					

#	Column Name	Format	Length	Value														
				US - Delaware [Others (free input)]														
10	Principal Place of Business in Hong Kong (Line 1)	String	40	The IPO Company's primary address in Hong Kong, separated over 4 lines.														
11	Principal Place of Business in Hong Kong (Line 2)	String	40															
12	Principal Place of Business in Hong Kong (Line 3)	String	40															
13	Principal Place of Business in Hong Kong (Line 4)	String	40															
14	Offering Type	String	40	The IPO's offering type: <table border="1"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Global offer (placing and public offer)</td> </tr> <tr> <td>By placing only</td> </tr> <tr> <td>By public offer only</td> </tr> <tr> <td>By introduction</td> </tr> <tr> <td>Transfer from GEM</td> </tr> </tbody> </table>	Value	Global offer (placing and public offer)	By placing only	By public offer only	By introduction	Transfer from GEM								
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15	Securities to be Listed	String	40	The type of securities to be listed by the IPO company: <table border="1"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Ordinary shares</td> </tr> <tr> <td>Ordinary shares (H shares)</td> </tr> <tr> <td>Ordinary shares (conversion from B to H shares)</td> </tr> <tr> <td>Preference shares</td> </tr> <tr> <td>Real Estate Investment Trust</td> </tr> <tr> <td>Exchange Traded Product</td> </tr> <tr> <td>Depository Receipts</td> </tr> <tr> <td>Stapled Securities</td> </tr> <tr> <td>[Others (free input)]</td> </tr> </tbody> </table>	Value	Ordinary shares	Ordinary shares (H shares)	Ordinary shares (conversion from B to H shares)	Preference shares	Real Estate Investment Trust	Exchange Traded Product	Depository Receipts	Stapled Securities	[Others (free input)]				
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16	Nominal Value per Share	Decimal	15,12	The nominal or par value of the IPO Company's securities.														
17	Nominal Currency	String		The currency denomination of the IPO company's nominal or par value: <table border="1"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>HKD CAD GYD MDL RSD UYU</td> </tr> <tr> <td>CNY CDF HNL MGA RUB UZS</td> </tr> <tr> <td>USD CHE HRK MKD RWF VES</td> </tr> <tr> <td>EUR CHF HTG MMK SAR VND</td> </tr> <tr> <td>AED CHW HUF MNT SBD VUV</td> </tr> <tr> <td>AFN CLF IDR MOP SCR WST</td> </tr> <tr> <td>ALL CLP ILS MRU SDG XAF</td> </tr> <tr> <td>AMD COP INR MUR SEK XAG</td> </tr> <tr> <td>ANG COU IQD MVR SGD XAU</td> </tr> <tr> <td>AOA CRC IRR MWK SHP XBA</td> </tr> <tr> <td>ARS CUC ISK MXN SLL XBB</td> </tr> <tr> <td>AUD CUP JMD MXV SOS XBC</td> </tr> <tr> <td>AWG CVE JOD MYR SRD XBD</td> </tr> </tbody> </table>	Value	HKD CAD GYD MDL RSD UYU	CNY CDF HNL MGA RUB UZS	USD CHE HRK MKD RWF VES	EUR CHF HTG MMK SAR VND	AED CHW HUF MNT SBD VUV	AFN CLF IDR MOP SCR WST	ALL CLP ILS MRU SDG XAF	AMD COP INR MUR SEK XAG	ANG COU IQD MVR SGD XAU	AOA CRC IRR MWK SHP XBA	ARS CUC ISK MXN SLL XBB	AUD CUP JMD MXV SOS XBC	AWG CVE JOD MYR SRD XBD
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18	Listing Platform	String	40	The listing board of the IPO: <table border="1"> <tr><th>Value</th></tr> <tr><td>Main board</td></tr> <tr><td>GEM</td></tr> </table>	Value	Main board	GEM																																																																																																			
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20	Dual-primary	String	1	Indicates whether the IPO company is operating a dual-primary listing. Else, 'N'.																																																																																																						
21	Biotech	String	1	Indicates whether the IPO company is operating a biotech listing. Else, 'N'.																																																																																																						
22	WVR	String	1	Indicates whether the IPO company is operating a WVR listing. Else, 'N'.																																																																																																						
23	US Reg-S	String	1	Indicates whether the IPO company is operating a US Reg-S listing. Else, 'N'.																																																																																																						
24	Specialist Technology Company	String	1	Indicates whether the IPO company is operating a Specialist Technology Company listing. Else, 'N'.																																																																																																						
25	WVR Ratio	String	5	If the IPO Company is operating a WVR listing, the WVR ratio in [n]:[n] format. Else, blank.																																																																																																						
26	Other Listing Venue(s)	String	80	If the IPO Company is operating a dual-primary listing, a list of primary exchanges separated by commas.																																																																																																						
27	Primary Listing Venue (other than on SEHK)			If the IPO Company is operating a secondary listing, a list of primary exchanges separated by commas: <table border="1"> <tr><th>Value</th></tr> <tr><td>The Amsterdam Stock Exchange (NYSE Euronext - Amsterdam)</td></tr> <tr><td>The Australian Securities Exchange (ASX)</td></tr> <tr><td>The Brazilian Securities, Commodities and Futures Exchange (BM&FBOVESPA)</td></tr> <tr><td>The Frankfurt Stock Exchange (Deutsche B�urse)</td></tr> </table>	Value	The Amsterdam Stock Exchange (NYSE Euronext - Amsterdam)	The Australian Securities Exchange (ASX)	The Brazilian Securities, Commodities and Futures Exchange (BM&FBOVESPA)	The Frankfurt Stock Exchange (Deutsche B�urse)																																																																																																	
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#	Column Name	Format	Length	Value								
				The Italian Stock Exchange (Borsa Italiana) The London Stock Exchange (LSE) The Madrid Stock Exchange (Bolsa de Madrid) NASDAQ OMX (US) The New York Stock Exchange (NYSE Euronext (US)) The Paris Stock Exchange (NYSE Euronext – Paris) The Singapore Exchange (SGX) The Stockholm Stock Exchange (NASDAQ OMX – Stockholm) The Swiss Exchange (SIX Swiss Exchange) The Tokyo Stock Exchange (TSE) The Toronto Stock Exchange (TMX) [Others (free input)]								
28	Trading Currency	String	3	The IPO's trading currency, expressed as currency codes: <table border="1"> <thead> <tr> <th>Currency</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>HKD</td> <td>Hong Kong Dollar</td> </tr> <tr> <td>CNY</td> <td>Chinese Yuan</td> </tr> <tr> <td>USD</td> <td>United States Dollar</td> </tr> </tbody> </table>	Currency	Description	HKD	Hong Kong Dollar	CNY	Chinese Yuan	USD	United States Dollar
Currency	Description											
HKD	Hong Kong Dollar											
CNY	Chinese Yuan											
USD	United States Dollar											
29	Downward Price Flexibility (%)	Percentage	3,0	The percentage at which the IPO company may price its IPO below the minimum offer price.								
30	Offer Price Range - Minimum	Decimal	12,3	The minimum offer price of the IPO.								
31	Offer Price Range - Maximum	Decimal	12,3	The maximum offer price of the IPO.								
32	Final Offer Price	Decimal	12,3	The final offer price of the IPO.								
33	Trading Board Lot	Integer	6	The minimum trading unit of the IPO company.								
34	Public Offer Reallocation Cap (%)	Percentage	5,2	The percentage cap at which the IPO company may allocate its securities to the public offer at its own discretion.								
35	Number of [Security type] Held by Existing [Security type holder]	Integer	20	The number of securities issued by the IPO company before the commencement of the IPO.								
36	Number of Offer [Security type]	Integer	20	The expected number of securities to be issued by the IPO company following the completion of the IPO.								
37	Offer Size Adjustment Option (%)	Percentage	5,2	The IPO's offer size adjustment option.								
38	Over-allotment Option Inclusive of Offer Size Adjustment Option	String	1	To indicate whether the IPO's over-allotment option calculations are inclusive of its offer size adjustment option.								
39	Over-allotment Option (%)	Percentage	5,2	The IPO's over-allotment option.								
40	Initial and Clawback Thresholds	String	40	The thresholds at which the IPO triggers a clawback, with each threshold delimited by ";".								
41	Public Offer Allocation (%)	String	40	The allocation percentages to be allocated to the public offer based on the clawback thresholds triggered, with each allocation percentage delimited by ";".								
42	Number of Public Offer [Security type]	Integer	20	The number of securities initially allocated to the public offer.								
43	EIPO Channel Valid Application Quantity	Integer	20	The number of securities validly subscribed by the EIPO channel.								
44	EIPO Channel Invalid Application Quantity	Integer	20	The number of securities invalidly subscribed by the EIPO channel.								
45	e-White Channel Valid Application Quantity	Integer	20	The number of securities validly subscribed by the e-White channel.								
46	e-White Channel Invalid Application Quantity	Integer	20	The number of securities invalidly subscribed by the e-White channel.								
47	Total Public Offer Valid Application Quantity	Integer	20	The number of securities validly subscribed by the public offer.								
48	Public Offer Subscription Ratio	Decimal	9,2	Total Public Offer Valid Application Quantity / Number of Public Offer [Security type]								
49	Number of Institutional Offer [Security type]	Integer	20	The number of securities initially allocated to the institutional offer.								
50	Number of Institutional Offer [Security type] Subscribed For	Integer	20	The number of securities validly subscribed by the institutional offer.								

#	Column Name	Format	Length	Value
51	Institutional Offer Subscription Ratio	Decimal	9,2	Number of Institutional Offer [Security type] Subscribed For divided by Number of Institutional Offer [Security type].
52	Preferential Offer Allocation from Public Offer	Integer	20	The number of securities allocated to preferential offers from the public offer.
53	Preferential Offer Allocation from Institutional Offer	Integer	20	The number of securities allocated to preferential offers from the institutional offer.
54	Total Preferential Offer Allocation from Offer	Integer	20	Preferential Offer Allocation from Public Offer plus Preferential Offer Allocation from Institutional Offer.
55	Final Number of Public Offer [Security type]	Integer	20	The final number of securities initially allocated to the public offer (before offer size adjustment and over-allocation).
56	Final Number of Institutional Offer [Security type]	Integer	20	The final number of securities initially allocated to the institutional offer (before offer size adjustment and over-allocation).
57	Final Number of Offer [Security type]	Integer	20	Final Number of Public Offer [Security type] plus Final Number of Institutional Offer [Security type].
58	Size of Public Offer Size Adjustment Option Exercised (Number of [Security type])	Integer	20	The additional number of securities issued to the public offer using the IPO's offer size adjustment option.
59	Size of Institutional Offer Size Adjustment Option Exercised (Number of [Security type])	Integer	20	The additional number of securities issued to the institutional offer using the IPO's offer size adjustment option.
60	Total Offer Size Adjustment Option Exercised (Number of [Security type])	Integer	20	Size of Public Offer Size Adjustment Option Exercised (Number of [Security type]) plus Size of Institutional Offer Size Adjustment Option Exercised (Number of [Security type]).
61	Size of Public Offer Over-allocation (Number of [Security type])	Integer	20	The additional number of securities issued to the public offer using the IPO's over-allotment option.
62	Size of Institutional Offer Over-allocation (Number of [Security type])	Integer	20	The additional number of securities issued to the institutional offer using the IPO's over-allotment option.
63	Total Over-allocation (Number of [Security type])	Integer	20	Size of Public Offer Over-allocation (Number of [Security type]) + Size of Institutional Offer Over-allocation (Number of [Security type]).
64	Final Size of the Public Offer	Integer	20	Final Number of Public Offer [Security type] + Size of Public Offer Size Adjustment Option Exercised (Number of [Security type]) + Size of Public Offer Over-allocation (Number of [Security type]).
65	Final Size of the Institutional Offer	Integer	20	Final Number of Institutional Offer [Security type] + Size of Institutional Offer Size Adjustment Option Exercised (Number of [Security type]) + Size of Institutional Offer Over-allocation (Number of [Security type]).
66	Final Size of the Offer	Integer	20	Final Size of the Public Offer + Final Size of the Institutional Offer
67	Total Issued Capital Upon Listing	Integer	20	The IPO company's total issued number of securities upon listing.
68	Total H Shares Issued Upon Listing	Integer	20	The IPO company's total issued number of H-shares upon listing.
69	Total Non-WVR Shares Issued Upon Listing	Integer	20	The IPO company's total issued number of non-weighted voting rights securities upon listing.
70	Listing Expenses	Decimal	12,2	The expenses incurred by the IPO company for its IPO case, expressed in HKD million terms.
71	Final Offer Price of Institutional Offer	Decimal	12,3	The final offer price for the institutional offer.
72	Commencement of Trading Date	String	19	The expected time and date at which the IPO commences trading, in YYYY-MM-DD HH:MM format.
73	Deal / Public Offer Start Date	String	19	The time and date for opening the IPO's public offer for subscriptions, in YYYY-MM-DD HH:MM format.
74	Public Offer End Date	String	19	The time and date for closing the IPO's public offer from subscriptions, in YYYY-MM-DD HH:MM:SS format.
75	Expected Price Determination Date	String	19	The latest time and date for determining the final price of the IPO, in YYYY-MM-DD HH:MM format.
76	Allotment Announcement / Share Posting / Certificate Dispatch Date	String	10	The expected date for broadcasting the public offer allotment results of the IPO, in YYYY-MM-DD format.
77	Settlement Instructions Input Date	String	10	The expected date for HKSCC to permit the inputting of settlement instructions

#	Column Name	Format	Length	Value
				into CCASS in relation to the IPO, in YYYY-MM-DD format.
78	Pre-deposit / Placing Shares Delivery Date	String	19	The latest time and date for delivering the institutional offer shares to CCASS.
79	IPO Status	String	40	The IPO's latest active status.
80	Brokerage	Percentage	8,5	The percentage of the allotment value payable to the allottee's broker.
81	SFC Transaction Levy	Percentage	8,5	The percentage of the allotment value payable to the SFC.
82	Stock Exchange Trading Fee	Percentage	8,5	The percentage of the allotment value payable to SEHK.
83	AFRC Transaction Levy	Percentage	8,5	The percentage of the allotment value payable to Accounting and Financial Reporting Council.

Warrants.csv:

#	Column Name	Format	Length	Value
1	Warrant Name (English Short)	String	15	The warrant's full English name.
2	Warrant Name (English Full)	String	100	The warrant's short English name.
3	Warrant Code	String	10	The warrant's security code.
4	ISIN	String	12	The warrant's ISIN.
5	Board Lot Size	Integer	6	The minimum trading unit of the warrant.
6	Initial Subscription Price	Decimal	12,3	The subscription price of the warrant.
7	Total Number of Warrants	Integer	20	The number of warrants to be issued.

Denomination Table.csv:

#	Column Name	Format	Length	Value
1	#	String	2	The application denomination's index number.
2	Application Quantity	Integer	20	The number of securities being subscribed for under the denomination.
3	Maximum Payable on Application	Decimal	20,2	The maximum amount of funds payable under the denomination.

Preferential Offers.csv:

#	Column Name	Format	Length	Value				
1	Name of Offer	String	80	The name of the preferential offer.				
2	Type of Offer	String	80	The type of preferential offer being operated: <table border="1" data-bbox="840 1177 1522 1282"> <thead> <tr> <th>Type</th> </tr> </thead> <tbody> <tr> <td>Shareholder Offer</td> </tr> <tr> <td>Employee Offer</td> </tr> <tr> <td>Others [Free text]</td> </tr> </tbody> </table>	Type	Shareholder Offer	Employee Offer	Others [Free text]
Type								
Shareholder Offer								
Employee Offer								
Others [Free text]								
3	Number of Preferential Offer [Security type]	Integer	20	The number of securities under				
4	IPO Tranche	String	80	The IPO tranche from which the securities of the preferential offer are taken from: <table border="1" data-bbox="840 1380 1522 1404"> <thead> <tr> <th>Type</th> </tr> </thead> <tbody> <tr> <td></td> </tr> </tbody> </table>	Type			
Type								

				Public Offer
				Institutional Offer
5	Number of Valid Subscriptions	Integer	20	The final number of valid subscriptions for the preferential offer.
6	Number of Rejected Subscriptions	Integer	20	The final number of rejected subscriptions for the preferential offer.
7	Final Number of Allottees	Integer	20	The final number of allottees for the preferential offer
8	Number of [Security Type] Applied for Valid Applications	Integer	20	The total valid application quantity for the preferential offer.
9	Final Allotted Quantity	Integer	20	The final number of securities allotted for the preferential offer.
10	Share Reallocation	Integer	20	The number of shares reallocated to the IPO Tranche as a result of undersubscription.

Adviser.csv:

#	Column Name	Format	Length	Value										
1	Adviser	String	80	The role played by the company within the IPO case: <table border="1" style="margin-left: 20px;"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr><td>Designated Sponsor</td></tr> <tr><td>Sponsor(s)</td></tr> <tr><td>HK Legal Adviser (for Sponsor)</td></tr> <tr><td>HK Legal Adviser (for Issuer)</td></tr> <tr><td>Underwriter(s)</td></tr> <tr><td>Adviser(s)</td></tr> <tr><td>Overall Coordinator(s)</td></tr> <tr><td>Distributor(s)</td></tr> <tr><td>HK Share Registrar</td></tr> </tbody> </table>	Value	Designated Sponsor	Sponsor(s)	HK Legal Adviser (for Sponsor)	HK Legal Adviser (for Issuer)	Underwriter(s)	Adviser(s)	Overall Coordinator(s)	Distributor(s)	HK Share Registrar
Value														
Designated Sponsor														
Sponsor(s)														
HK Legal Adviser (for Sponsor)														
HK Legal Adviser (for Issuer)														
Underwriter(s)														
Adviser(s)														
Overall Coordinator(s)														
Distributor(s)														
HK Share Registrar														
2	Company Name	String	80	The name of the company playing the role within the IPO case.										

EIPO Subscription Report (Pending)

The CP EIPO Subscription Report (Pending) allows HKSCC Participants to download an IPO case’s latest list of instruction(s) pending authorisation. It is accessible on the Pending Ledger of the [EIPO Subscription](#) interface.

Each joint applicant is represented as a single data row, e.g. a subscription containing 4 joint applicants would be presented across 4 data rows.

Setup

Report Name	FINI - EIPO SUB 01_Pending [#####] [\$\$\$\$\$] [YYYYMMDDHHMM]
Description	##### = Stock Code \$\$\$\$\$ = Participant ID of the HKSCC Participant YYYYMMDDHHMM = Report generation timestamp
Availability	On-demand
Format	.CSV

Data Fields

File format:

#	Value
File extension	.CSV
Encoding	UTF-8
Delimiter	, (comma)
Enclosed	" " (double-quotes)

Data fields:

#	Column Name	Format	Length	Value
1	Sub-flow status	String	40	Always "Pending".
2	Channel	String	40	The channel through which the instruction was created: <ul style="list-style-type: none"> ▪ Online Input ▪ Bulk Upload ▪ API Request

#	Column Name	Format	Length	Value
				Note: subsequent amendments via other channels (e.g. create by Bulk Upload, then amend by Online Input) will not be updated.
3	Stock Code	String	10	The IPO's stock code.
4	Action Type	String	40	The action to be performed by the instruction: <ul style="list-style-type: none"> ▪ Addition ▪ Change ▪ Invalidation
5	Record ID	String	17	The instruction's Record ID.
6	ID Type	String	40	The instruction's ID Type.
7	ID Country / Jurisdiction	String	3	The instruction's ID Country / Jurisdiction.
8	ID Number	String	40	The instruction's ID Number.
9	Full Name (English)	String	150	The instruction's Full Name (English).
10	Full Name (Chinese or Non-English)	String	150	The instruction's Full Name (Chinese or Non-English).
11	Application Quantity	Integer	20	The instruction's Application Quantity.
12	SEHK Participant ID	String	5	The instruction's SEHK Participant ID used to identify the entity receiving the brokerage.
13	Own Reference	String	40	The instruction's Own Reference.
14	Last Updated Timestamp	String	10	The instruction's last updated timestamp.
15	Last Updated User	String	80	The instruction's last updated user. If the user is an HKSCC operator, the value would be fixed as 'HKSCC'.
16	Operator	String	40	To indicate the party operating this instruction: <ul style="list-style-type: none"> ▪ HKSCC – the instruction is created and maintained by an HKSCC operator on behalf of a CP user. ▪ CP – the instruction is created and maintained by a CP operator. <p>Note: HKSCC operators will not be able to amend / authorise / revert / withdraw instruction(s) created by CP operators, and vice versa.</p>

Control record:

#	Column Name	Format	Length	Value
1	Total Number of Unique Records	String	30	'Total Number of Unique Records'
2	Total Number of Unique Records (Value)	Integer	20	Total number of unique records within report. Joint account subscriptions with multiple data rows are only counted once.
3	Total Application Quantity	String	23	'Total Application Quantity'
4	Total Application Quantity (Value)	Decimal	21,2	Total application quantity based on unique records within report. Joint account subscriptions with multiple data rows are only counted once.

Sample

Data field(s):

#	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Field Name	Sub-flow status	Channel	Stock Code	Action Type	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese)	Application Quantity	SEHK Participant ID	Own Reference	Last Updated Timestamp	Last Updated User	Operator

										or Non-English)						
Length	40	40	10	40	17	40	3	40	150	150	20	5	40	10	80	40
Value	Pending	Online Input	9595	Add	582746109 21700400	HKID	HKG	J294814(0)	Kyle Zheng		400	00000	Client 4623	2021-11-21 16:05	John Chan	CP
	Pending	Bulk Upload	9595	Change	322690233 7407525B	HKID	HKG	K467944(6)	Christine Pan		700	00000	Client 2364	2021-11-21 17:23	John Chan	CP
	Pending	Bulk Upload	9595	Add	945422909 8976604B	HKID	HKG	A298957(7)	Terry Wan		1000	00000	Client 5110	2021-11-21 17:23	John Chan	CP
	Pending	Bulk Upload	9595	Change	421845823 6882262B	HKID	HKG	B463207(3)	Scott Yin		100	00000	Client 1812	2021-11-21 17:23	John Chan	CP
	Pending	Bulk Upload	9595	Add	148656427 5928807B	HKID	HKG	D905321(5)	Jeremy Pan		100	00000	Client 3108	2021-11-21 17:23	John Chan	CP
	Pending	Bulk Upload	9595	Add	775558741 9462189B	HKID	HKG	S776756(7)	Steven Wang		100	00000	Client 6845	2021-11-21 17:23	John Chan	CP
	Pending	Bulk Upload	9595	Add	388483392 2954384B	HKID	HKG	Y648657(9)	Patrick Xiao		200	00000	Client 3745	2021-11-21 17:23	John Chan	CP
	Pending	Bulk Upload	9595	Add	839278871 5647797B	HKID	HKG	V038283(6)	Bryan Qian		400	00000	Client 9471	2021-11-21 17:23	John Chan	CP
	Pending	Bulk Upload	9595	Add	548945367 2028725B	HKID	HKG	J294814(0)	Raymond Wu		1000	00000	Client 4623	2021-11-21 17:23	John Chan	CP
	Pending	Bulk Upload	9595	Add	989942783 4359175B	HKID	HKG	K376150(1)	Amanda Hou		200	00000	Client 2373	2021-11-21 17:23	John Chan	CP
	Pending	Online Input	9595	Invalidate	564929761 8831003A										John Chan	CP

Data file (copy into a text editor for a better view):

Sub-flow status,Channel,Stock Code,Action Type,Record ID,ID Type,ID Country / Jurisdiction,ID Number,Full Name (English),Full Name (Chinese or Non-English),Application Quantity,SEHK Participant ID,Own Reference,Last Updated Timestamp,Last Updated User,Operator Pending,Online Input,9595,Add,58274610921700400,HKID,HKG,J294814(0),Kyle Zheng,,400,00000,Client 4623,2021-11-21 16:05,John Chan,CP Pending,Bulk Upload,9595,Change,3226902337407525B,HKID,HKG,K467944(6),Christine Pan,,700,00000,Client 2364,2021-11-21 17:23,John Chan,CP Pending,Bulk Upload,9595,Add,9454229098976604B,HKID,HKG,A298957(7),Terry Wan,,1000,00000,Client 5110,2021-11-21 17:23,John Chan,CP Pending,Bulk Upload,9595,Change,4218458236882262B,HKID,HKG,B463207(3),Scott Yin,,100,00000,Client 1812,2021-11-21 17:23,John Chan,CP Pending,Bulk Upload,9595,Add,1486564275928807B,HKID,HKG,D905321(5),Jeremy Pan,,100,00000,Client 3108,2021-11-21 17:23,John Chan,CP Pending,Bulk Upload,9595,Add,7755587419462189B,HKID,HKG,S776756(7),Steven Wang,,100,00000,Client 6845,2021-11-21 17:23,John Chan,CP Pending,Bulk Upload,9595,Add,3884833922954384B,HKID,HKG,Y648657(9),Patrick Xiao,,200,00000,Client 3745,2021-11-21 17:23,John Chan,CP Pending,Bulk Upload,9595,Add,8392788715647797B,HKID,HKG,V038283(6),Bryan Qian,,400,00000,Client 9471,2021-11-21 17:23,John Chan,CP Pending,Bulk Upload,9595,Add,5489453672028725B,HKID,HKG,J294814(0),Raymond Wu,,1000,00000,Client 4623,2021-11-21 17:23,John Chan,CP Pending,Bulk Upload,9595,Add,9899427834359175B,HKID,HKG,K376150(1),Amanda Hou,,200,00000,Client 2373,2021-11-21 17:23,John Chan,CP Pending,Online Input,9595,Invalidate,5649297618831003A,,,,,,,,,,,,,John Chan,CP Total Number of Unique Records,11,Total Application Quantity,4200

EIPO Subscription Report (Authorised)

The CP EIPO Subscription Report (Authorised) allows HKSCC Participants to download an IPO case's latest list of subscriptions. It is accessible on the Authorised Ledger of the [EIPO Subscription](#) interface.

Each joint applicant is represented as a single data row, e.g. a subscription containing 4 joint applicants would be presented across 4 data rows.

Setup

Report Name	FINI - EIPO SUB 03_Authorised_ [#####] [\$\$\$\$] [YYYYMMDDHHMM]
Description	##### = Stock Code \$\$\$\$ = Participant ID of the HKSCC Participant YYYYMMDDHHMM = Report generation timestamp
Availability	On-demand
Format	.CSV

Data Fields

File format:

#	Value
File extension	.CSV
Encoding	UTF-8
Delimiter	, (comma)
Enclosed	" " (double-quotes)

Data fields:

#	Column Name	Format	Length	Value
1	Sub-flow status	String	40	Always "Authorised".
2	Channel	String	40	The channel through which the instruction was created: <ul style="list-style-type: none"> ▪ Online Input ▪ Bulk Upload ▪ API Request

#	Column Name	Format	Length	Value
				Note: subsequent amendments via other channels (e.g. create by Bulk Upload, then amend by Online Input) will not be updated.
3	Stock Code	String	10	The IPO's stock code.
4	Record ID	String	17	The instruction's Record ID.
5	ID Type	String	40	The instruction's ID Type.
6	ID Country / Jurisdiction	String	3	The instruction's ID Country / Jurisdiction.
7	ID Number	String	40	The instruction's ID Number.
8	Full Name (English)	String	150	The instruction's Full Name (English).
9	Full Name (Chinese or Non-English)	String	150	The instruction's Full Name (Chinese or Non-English).
10	Application Quantity	Integer	20	The instruction's Application Quantity.
11	Duplicate Flag	String	1	"Y" to indicate whether the subscription has been identified as a duplicate within the HKSCC Participant's Authorised Ledger. Else, blank.
12	SEHK Participant ID	String	5	The instruction's SEHK Participant ID used to identify the entity receiving the brokerage.
13	Own Reference	String	40	The instruction's Own Reference.
14	Last Updated Timestamp	String	10	The instruction's last updated timestamp.
15	Last Updated User	String	80	The instruction's last updated user. If the user is an HKSCC operator, the value would be fixed as 'HKSCC'.
16	Operator	String	40	To indicate the party operating this instruction: <ul style="list-style-type: none"> ▪ HKSCC – the instruction is created and maintained by an HKSCC operator on behalf of a CP user. ▪ CP – the instruction is created and maintained by a CP operator. <p>Note: HKSCC operators will not be able to amend / authorise / revert / withdraw instruction(s) created by CP operators, and vice versa.</p>

Control record:

#	Column Name	Format	Length	Value
1	Total Number of Unique Records	String	30	'Total Number of Unique Records'
2	Total Number of Unique Records (Value)	Integer	20	Total number of unique records within report. Joint account subscriptions with multiple data rows are only counted once.
3	Total Application Quantity	String	23	'Total Application Quantity'
4	Total Application Quantity (Value)	Decimal	21,2	Total application quantity based on unique records within report. Joint account subscriptions with multiple data rows are only counted once.

Sample

Data fields(s):

#	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Field Name	Sub-flow status	Channel	Stock Code	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	Duplicate Flag	SEHK Participant ID	Own Reference	Last Updated Timestamp	Last Updated User	Operator
Length	40	40	10	17	40	3	40	150	150	20	1	5	40	10	80	40

Value	Authorised	Online Input	9595	582746109 21700400	HKID	HKG	J294814(0)	Kyle Zheng		400	Y	00000	Client 4623	2021-11-21 18:19	Mary Lee	CP
	Authorised	Bulk Upload	9595	322690233 7407525B	HKID	HKG	K467944(6)	Christine Pan		700		00000	Client 2364	2021-11-21 18:19	Mary Lee	CP
	Authorised	Bulk Upload	9595	945422909 8976604B	HKID	HKG	A298957(7)	Terry Wan		1000		00000	Client 5110	2021-11-21 18:19	Mary Lee	CP
	Authorised	Bulk Upload	9595	421845823 6882262B	HKID	HKG	B463207(3)	Scott Yin		100		00000	Client 1812	2021-11-21 18:19	Mary Lee	CP
	Authorised	Bulk Upload	9595	148656427 5928807B	HKID	HKG	D905321(5)	Jeremy Pan		100		00000	Client 3108	2021-11-21 18:19	Mary Lee	CP
	Authorised	Bulk Upload	9595	775558741 9462189B	HKID	HKG	S776756(7)	Steven Wang		100		00000	Client 6845	2021-11-21 18:19	Mary Lee	CP
	Authorised	Bulk Upload	9595	388483392 2954384B	HKID	HKG	Y648657(9)	Patrick Xiao		200		00000	Client 3745	2021-11-21 18:19	Mary Lee	CP
	Authorised	Bulk Upload	9595	839278871 5647797B	HKID	HKG	V038283(6)	Bryan Qian		400		00000	Client 9471	2021-11-21 18:19	Mary Lee	CP
	Authorised	Bulk Upload	9595	548945367 2028725B	HKID	HKG	J294814(0)	Raymond Wu		1000	Y	00000	Client 4623	2021-11-21 18:19	Mary Lee	CP
	Authorised	API	9595	989942783 4359175A	HKID	HKG	K376150(1)	Amanda Hou		200		00000	Client 2373	2021-11-21 18:19	Mary Lee	CP

Data file (copy into a text editor for a better view):

Sub-flow status,Channel,Stock Code,Record ID,ID Type,ID Country / Jurisdiction,ID Number,Full Name (English),Full Name (Chinese or Non-English),Application Quantity,Duplicate Flag,SEHK Participant ID,Own Reference,Last Updated Timestamp,Last Updated User,Operator
 Authorised,Online Input,9595,58274610921700400,HKID,HKG,J294814(0),Kyle Zheng,,400,Y,00000,Client 4623,2021-11-21 18:19,Mary Lee,CP
 Authorised,Bulk Upload,9595,3226902337407525B,HKID,HKG,K467944(6),Christine Pan,,700,,00000,Client 2364,2021-11-21 18:19,Mary Lee,CP
 Authorised,Bulk Upload,9595,9454229098976604B,HKID,HKG,A298957(7),Terry Wan,,1000,,00000,Client 5110,2021-11-21 18:19,Mary Lee,CP
 Authorised,Bulk Upload,9595,4218458236882262B,HKID,HKG,B463207(3),Scott Yin,,100,,00000,Client 1812,2021-11-21 18:19,Mary Lee,CP
 Authorised,Bulk Upload,9595,1486564275928807B,HKID,HKG,D905321(5),Jeremy Pan,,100,,00000,Client 3108,2021-11-21 18:19,Mary Lee,CP
 Authorised,Bulk Upload,9595,7755587419462189B,HKID,HKG,S776756(7),Steven Wang,,100,,00000,Client 6845,2021-11-21 18:19,Mary Lee,CP
 Authorised,Bulk Upload,9595,3884833922954384B,HKID,HKG,Y648657(9),Patrick Xiao,,200,,00000,Client 3745,2021-11-21 18:19,Mary Lee,CP
 Authorised,Bulk Upload,9595,8392788715647797B,HKID,HKG,V038283(6),Bryan Qian,,400,,00000,Client 9471,2021-11-21 18:19,Mary Lee,CP
 Authorised,Bulk Upload,9595,5489453672028725B,HKID,HKG,J294814(0),Raymond Wu,,1000,Y,00000,Client 4623,2021-11-21 18:19,Mary Lee,CP
 Authorised,API,9595,9899427834359175A,HKID,HKG,K376150(1),Amanda Hou,,200,,00000,Client 2373,2021-11-21 18:19,Mary Lee,CP
 Total Number of Unique Records,10,Total Application Quantity,4200

EIPO Subscription Report (Invalidated)

The CP EIPO Subscription Report (Invalidated) allows HKSCC Participants to download an IPO case’s latest list of subscriptions that have been invalidated. It is accessible on the Invalidated Ledger of the [EIPO Subscription](#) interface.

Each joint applicant is represented as a single data row, e.g. a subscription containing 4 joint applicants would be presented across 4 data rows.

Setup

Report Name	FINI - EIPO SUB 05_Invalidated_#####_[\$\$\$\$\$]_[YYYYMMDDHHMM]
Description	##### = Stock Code \$\$\$\$\$ = Participant ID of the HKSCC Participant YYYYMMDDHHMM = Report generation timestamp
Availability	On-demand
Format	.CSV

Data Fields

File format:

#	Value
File extension	.CSV
Encoding	UTF-8
Delimiter	, (comma)
Enclosed	" " (double-quotes)

Data fields:

#	Column Name	Format	Length	Value
1	Sub-flow status	String	40	Always "Invalidated".
2	Channel	String	40	The channel through which the instruction was created: <ul style="list-style-type: none"> ▪ Online Input ▪ Bulk Upload ▪ API Request

#	Column Name	Format	Length	Value
				Note: subsequent amendments via other channels (e.g. create by Bulk Upload, then amend by Online Input) will not be updated.
3	Stock Code	String	10	The IPO's stock code.
4	Record ID	String	17	The instruction's Record ID.
5	ID Type	String	40	The instruction's ID Type.
6	ID Country / Jurisdiction	String	3	The instruction's ID Country / Jurisdiction.
7	ID Number	String	40	The instruction's ID Number.
8	Full Name (English)	String	150	The instruction's Full Name (English).
9	Full Name (Chinese or Non-English)	String	150	The instruction's Full Name (Chinese or Non-English).
10	Application Quantity	Integer	20	The instruction's Application Quantity.
11	Invalidation Reason	String	40	<p>The reason for which the subscription was invalidated:</p> <ul style="list-style-type: none"> ▪ CP Cancellation – the subscription was invalidated by the HKSCC Participant via a maker-checker workflow during the Public Offer Subscription Period. ▪ HKSCC Cancellation – the subscription was invalidated by HKSCC on behalf of an HKSCC Participant via a maker-checker workflow during the Public Offer Subscription Period. ▪ Invalid BCAN – the subscription was invalidated by HKSCC due to the system not being to identify a valid BCAN from the HKIDR system after the public offer book close. ▪ Duplicate – the subscription was invalidated due to the system identifying a duplicate against other public offer subscriptions, including the EIPO and e-White Channels ▪ Failed pre-funding – the subscription was invalidated due to failing the Public Offer Funding Confirmation step. ▪ Failed Settlement – the subscription was invalidated due to the allotment failing the Public Offer Money Settlement step.
12	SEHK Participant ID	String	5	The instruction's SEHK Participant ID used to identify the entity receiving the brokerage.
13	Own Reference	String	40	The instruction's Own Reference.
14	Last Updated Timestamp	String	10	The instruction's last updated timestamp.
15	Last Updated User	String	80	The instruction's last updated user. If the user is an HKSCC operator, the value would be fixed as 'HKSCC'.
16	Operator	String	40	<p>To indicate the party operating this instruction:</p> <ul style="list-style-type: none"> ▪ HKSCC – the instruction is created and maintained by an HKSCC operator on behalf of a CP user. ▪ CP – the instruction is created and maintained by a CP operator. <p>Note: HKSCC operators will not be able to amend / authorise / revert / withdraw instruction(s) created by CP operators, and vice versa.</p>

Control record:

#	Column Name	Format	Length	Value
1	Total Number of Unique Records	String	30	'Total Number of Unique Records'
2	Total Number of Unique Records (Value)	Integer	20	Total number of unique records within report. Joint account subscriptions with multiple data rows are only counted once.
3	Total Application Quantity	String	23	'Total Application Quantity'
4	Total Application Quantity (Value)	Decimal	21,2	Total application quantity based on unique records within report. Joint account subscriptions with multiple data rows are only counted once.

Sample

Data fields(s):

#	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Field Name	Sub-flow status	Channel	Stock Code	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	Invalidation Reason	SEHK Participant ID	Own Reference	Last Updated Timestamp	Last Updated User	Operator
Length	40	40	10	17	40	3	40	150	150	20	40	5	40	10	80	40
Value	Invalidated	Online Input	9595	5649297618831003A	HKID	HKG	I669019(4)	Shirley Chang		10,000	CP Cancellation	00000	Client 8723	2021-11-21 19:11	Mary Lee	CP

Data file (copy into a text editor for a better view):

Sub-flow status,Channel,Stock Code,Record ID,ID Type,ID Country / Jurisdiction,ID Number,Full Name (English),Full Name (Chinese or Non-English),Application Quantity,Invalidation Reason,SEHK Participant ID,Own Reference,Last Updated Timestamp,Last Updated User,Operator
 Invalidated,Online Input,9595,5649297618831003A,HKID,HKG,I669019(4),Shirley Chang,,10000,CP Cancellation,00000,Client 8723,2021-11-21 19:11,Mary Lee,CP
 Total Number of Unique Records,1,Total Application Quantity,10000

EIPO Allotment Report

The CP EIPO Allotment Report allows HKSCC Participants to download the allotment results for a particular IPO case via the [EIPO Allotment](#) interface. Joint account subscriptions are displayed as multiple data rows, grouped by the same Record ID. The display order of the data rows follows the input sequence of the subscriptions.

Each joint applicant is represented as a single data row, e.g. a subscription containing 4 joint applicants would be presented across 4 data rows.

Setup

Report Name	EIPO ALLOT 01 [#####] [\$\$\$\$\$] [YYYYMMDDHHMM]
Description	##### = Stock Code \$\$\$\$\$ = Participant ID of the HKSCC Participant YYYYMMDDHHMM = Report generation timestamp
Availability	Generated at "Allocation Confirmed"
Format	.CSV

Data Fields

File format:

#	Value
File extension	.CSV
Encoding	UTF-8
Delimiter	, (comma)
Enclosed	" " (double-quotes)

Data fields:

#	Column Name	Format	Length	Value
1	Stock Code	String	10	The IPO's stock code.
2	Record ID	String	17	The original subscription's Record ID.
3	ID Type	String	40	The original subscription's ID Type.
4	ID Country / Jurisdiction	String	3	The original subscription's ID Country / Jurisdiction.

#	Column Name	Format	Length	Value								
5	ID Number	String	40	The original subscription's ID Number.								
6	Full Name (English)	String	150	The original subscription's Full Name (English).								
7	Full Name (Chinese or Non-English)	String	150	The original subscription's Full Name (Chinese or Non-English).								
8	Application Quantity	Integer	20	The number of securities subscribed in the original subscription.								
9	Application Value	Decimal	20,2	The value of securities subscribed in the original subscription.								
10	Allotted Quantity	Integer	20	The number of securities allotted to the subscription.								
11	Allotted Value	Decimal	20,2	The value of securities (inclusive of fees) allotted to the subscription.								
12	Unsuccessful Reason	String	40	<p>If the subscription was not allotted any securities, the successful reason:</p> <table border="1"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>01 – Not allotted</td> </tr> <tr> <td>02 – Failed pre-funding</td> </tr> <tr> <td>03 – Duplicate application</td> </tr> <tr> <td>04 – Incomplete information</td> </tr> <tr> <td>05 – Invalid BCAN</td> </tr> <tr> <td>06 – EIPO default</td> </tr> <tr> <td>99 – Others</td> </tr> </tbody> </table> <p>If the subscription was successfully allotted securities, this field will be blank.</p>	Value	01 – Not allotted	02 – Failed pre-funding	03 – Duplicate application	04 – Incomplete information	05 – Invalid BCAN	06 – EIPO default	99 – Others
Value												
01 – Not allotted												
02 – Failed pre-funding												
03 – Duplicate application												
04 – Incomplete information												
05 – Invalid BCAN												
06 – EIPO default												
99 – Others												
13	Own Reference	String	40	The original subscription's Own Reference.								

Control record:

#	Column Name	Format	Length	Value
1	Total Number of Unique Records	String	30	'Total Number of Unique Records'
2	Total Number of Unique Records (Value)	Integer	20	Total number of unique records within report. Joint account subscriptions with multiple data rows are only counted once.
3	Total Allotted Quantity	String	23	'Total Allotted Quantity'
4	Total Allotted Quantity (Value)	Decimal	20,2	Total allotted quantity based on unique records within report. Joint account subscriptions with multiple data rows are only counted once.

Sample**Data field(s):**

#	1	2	3	4	5	6	7	8	9	10	11	12	13
Field Name	Stock Code	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	Application Value	Allotted Quantity	Allotted Value	Unsuccessful Reason	Own Reference
Length	10	17	40	3	40	150	150	20	20,2	20	20,2	40	40
Value	9595	5827461092 1700400	HKID	HKG	J294814(0)	Kyle Zheng		400	12120.94	0	0	03 - Duplicate application	Client 4623

9595	3226902337 407525B	HKID	HKG	K467944(6)	Christine Pan		700	21211.65	100	2020.16		Client 2364
9595	9454229098 976604B	HKID	HKG	A298957(7)	Terry Wan		1000	30302.36	200	4040.31		Client 5110
9595	4218458236 882262B	HKID	HKG	B463207(3)	Scott Yin		100	3030.24	0	0	01 - Not allotted	Client 1812
9595	1486564275 928807B	HKID	HKG	D905321(5)	Jeremy Pan		100	3030.24	0	0	01 - Not allotted	Client 3108
9595	7755587419 462189B	HKID	HKG	S776756(7)	Steven Wang		100	3030.24	0	0	01 - Not allotted	Client 6845
9595	3884833922 954384B	HKID	HKG	Y648657(9)	Patrick Xiao		200	6060.47	100	2020.16		Client 3745
9595	8392788715 647797B	HKID	HKG	V038283(6)	Bryan Qian		400	12120.94	100	2020.16		Client 9471
9595	5489453672 028725B	HKID	HKG	J294814(0)	Raymond Wu		1000	30302.36	0	0	03 - Duplicate application	Client 4623
9595	9899427834 359175B	HKID	HKG	K376150(1)	Amanda Hou		200	6060.47	100	2020.16		Client 2373

Control record:


#	1	2	3	4
Field Name	Total Number of Unique Records	Total Number of Unique Records (Value)	Total Allotted Quantity	Total Allotted Quantity (Value)
Length	30	20	23	20,2
Value	Total Number of Unique Records	10	Total Allotted Quantity	600

Data file (copy into a text editor for a better view):

Stock Code,Record ID,ID Type,ID Country / Jurisdiction,ID Number,Full Name (English),Full Name (Chinese or Non-English),Application Quantity,Application Value,Allotted Quantity,Allotted Value,Unsuccessful Reason,Own Reference
9595,58274610921700400,HKID,HKG,J294814(0),Kyle Zheng,,400,12120.94,0,0,03 - Duplicate application,Client 4623
9595,32269023374075250,HKID,HKG,K467944(6),Christine Pan,,700,21211.65,100,2020.16,,Client 2364
9595,94542290989766040,HKID,HKG,A298957(7),Terry Wan,,1000,30302.36,200,4040.31,,Client 5110
9595,42184582368822620,HKID,HKG,B463207(3),Scott Yin,,100,3030.24,0,0,01 - Not allotted,Client 1812
9595,14865642759288070,HKID,HKG,D905321(5),Jeremy Pan,,100,3030.24,0,0,01 - Not allotted,Client 3108
9595,77555874194621890,HKID,HKG,S776756(7),Steven Wang,,100,3030.24,0,0,01 - Not allotted,Client 6845
9595,38848339229543840,HKID,HKG,Y648657(9),Patrick Xiao,,200,6060.47,100,2020.16,,Client 3745
9595,83927887156477970,HKID,HKG,V038283(6),Bryan Qian,,400,12120.94,100,2020.16,,Client 9471
9595,54894536720287250,HKID,HKG,J294814(0),Raymond Wu,,1000,30302.36,0,0,03 - Duplicate application,Client 4623
9595,98994278343591750,HKID,HKG,K376150(1),Amanda Hou,,200,6060.47,100,2020.16,,Client 2373
Total Number of Unique Records,10,Total Allotted Quantity,600

CP EIPO Management Audit Log

The CP EIPO Management Audit Log allows HKSCC Participants to view any user activities performed within the [EIPO Management](#) interface. The report is generated daily, covering the user activities performed within the previous calendar date.

 Even if a company has no user activities for that day, an empty report would still be generated with “No data available” with no column names displayed.

Setup

Report Name	FINI – EIPO MGMT AUDIT 01 [\$\$\$\$\$] [YYYYMMDD]
Description	\$\$\$\$\$ = Participant ID of the HKSCC Participant YYYYMMDD = Report generation timestamp – 1 calendar date
Availability	Generated at 00:00 on each calendar date
Format	.CSV

Data Fields

File format:

#	Value
File extension	.CSV
Encoding	UTF-8
Delimiter	, (comma)
Enclosed	" " (double-quotes)


Data fields:

#	Column Name	Format	Length	Value
1	Trace ID	String	55	A unique ID generated by the system to record the user's input action
2	Channel	String	1	<ul style="list-style-type: none"> ▪ W = Web input ▪ A = API input For this report, only "W" is displayed.
3	User ID	String	50	The ID of the user performing the action.
4	User Company Name	String	100	The company name of the user performing the action.

#	Column Name	Format	Length	Value					
5	Timestamp	String	20	The system timestamp of the user's input action.					
6	Operation	String	80	Describes the user's input action: <table border="1" data-bbox="842 266 1411 412"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>POmax Opt-in Status Request (Submit)</td> </tr> <tr> <td>POmax Opt-in Status Request (Withdraw)</td> </tr> <tr> <td>POmax Opt-in Status Request (Reject)</td> </tr> <tr> <td>POmax Opt-in Status Request (Approve)</td> </tr> </tbody> </table>	Value	POmax Opt-in Status Request (Submit)	POmax Opt-in Status Request (Withdraw)	POmax Opt-in Status Request (Reject)	POmax Opt-in Status Request (Approve)
Value									
POmax Opt-in Status Request (Submit)									
POmax Opt-in Status Request (Withdraw)									
POmax Opt-in Status Request (Reject)									
POmax Opt-in Status Request (Approve)									
7	Participant ID	String	6	The Participant ID of the HKSCC Participant.					
8	Participant Name	String	81	The Participant Name of the HKSCC Participant.					
9	POmax Opt-In	String	1	<ul style="list-style-type: none"> ▪ Y = Opt in to pre-funding compression ▪ N = Do not opt in to pre-funding compression 					

CP EIPO Subscription Audit Log

The CP EIPO Subscription Audit Log allows HKSCC Participants to view any user activities performed within the [EIPO Subscription](#) interface. The report is generated daily between "Deal Initiated" and "Applications Validated" or "Cancelled", covering the user activities performed within the previous calendar date.

 Even if a company has no user activities for that day, an empty report would still be generated with "No data available" with no column names displayed.

Setup

Report Name	FINI - EIPO SUB AUDIT 01 [#####] [\$\$\$\$] [YYYYMMDD]
Description	##### = Stock Code \$\$\$\$ = Participant ID of the HKSCC Participant YYYYMMDD = Report generation timestamp – 1 calendar date
Availability	Generated at 00:00 on each calendar date, between the IPO case at "Deal Initiated" and "Applications Validated" or "Cancelled".
Format	.ZIP (with 2 .CSV files)

Data Fields

Within the .ZIP file are 2 separate .CSV files, each with the same file formats. Each data table below represents the specifications for each .CSV file. Joint applicant instructions are displayed as multiple data rows with the same Record ID. The order of the data rows follows the sequence of the user’s own inputs.

File format:

#	Value
File extension	.CSV
Encoding	UTF-8
Delimiter	, (comma)
Enclosed	" " (double-quotes)

[\$\$\$\$\$] (Participant ID of the Clearing Participant).csv:

The following report records the HKSCC Participant's own input activities:

#	Column Name	Format	Length	Value						
1	Trace ID	String	55	A unique ID generated by the system to record the user's input action						
2	Channel	String	1	<ul style="list-style-type: none"> ▪ W = Web input ▪ A = API input User reference: Since the users can perform actions through web interface and API, both "W" and "A" are able to be shown (where applicable).						
3	Stock Code	String	10	The IPO's stock code.						
4	Company Name	String	80	The IPO Company's full English name.						
5	User ID	String	50	The ID of the user (user email address or machine profile) performing the action.						
6	User Company Name	String	100	The company name of the user performing the action.						
7	Timestamp	String	20	The system timestamp of the user's input action.						
8	Operation	String	80	Describes the user's input action: <table border="1" style="margin-top: 10px; width: 100%;"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Submit EIPO</td> </tr> <tr> <td>Withdraw EIPO</td> </tr> <tr> <td>Revert EIPO</td> </tr> <tr> <td>Authorise EIPO</td> </tr> <tr> <td>Invalidate EIPO</td> </tr> </tbody> </table> If "Invalidate EIPO" is the Operation , Fields #13 to 21 will be blank.	Value	Submit EIPO	Withdraw EIPO	Revert EIPO	Authorise EIPO	Invalidate EIPO
Value										
Submit EIPO										
Withdraw EIPO										
Revert EIPO										
Authorise EIPO										
Invalidate EIPO										
9	Sub-flow Status	String	80	The sub-flow status of the EIPO instruction: <table border="1" style="margin-top: 10px; width: 100%;"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Interim</td> </tr> <tr> <td>Pending</td> </tr> <tr> <td>Authorised</td> </tr> <tr> <td>Invalidated</td> </tr> </tbody> </table>	Value	Interim	Pending	Authorised	Invalidated	
Value										
Interim										
Pending										
Authorised										
Invalidated										
10	Action	String	80	The action performed by the EIPO instruction: <table border="1" style="margin-top: 10px; width: 100%;"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Addition</td> </tr> <tr> <td>Change</td> </tr> <tr> <td>Invalidation</td> </tr> </tbody> </table>	Value	Addition	Change	Invalidation		
Value										
Addition										
Change										
Invalidation										
11	Participant ID	String	6	The Participant ID of the HKSCC Participant.						
12	Record ID	String	80	The instruction's Record ID.						
13	ID Type	String	40	The instruction's ID Type.						
14	ID Country / Jurisdiction	String	3	The instruction's ID Country / Jurisdiction.						
15	ID Number	String	40	The instruction's ID Number.						

#	Column Name	Format	Length	Value
16	Full Name (English)	String	150	The instruction's Full Name (English).
17	Full Name (Chinese or Non-English)	String	150	The instruction's Full Name (Chinese or Non-English).
18	Application Quantity	Integer	20	The instruction's Application Quantity.
19	SEHK Participant ID	String	5	The instruction's SEHK Participant ID used to identify the entity receiving the brokerage.
20	Own File Reference	String	40	The instruction's Own File Reference.
21	Duplicate Flag	String	1	"Y" to indicate whether the subscription has been identified as a duplicate within the HKSCC Participant's Authorised Ledger. Else, blank.
22	Invalidation Reason	String	40	The reason for which the subscription was invalidated. <ul style="list-style-type: none"> If "Invalidate EIPO" is the Operation, this field will always be "Clearing Participant Cancellation". If "Invalidate EIPO" is <u>not</u> the Operation, this field will always be blank.
23	Comments	String	500	Any comment provided by a checker during a "Revert EIPO" action. If "Revert EIPO" is not the Operation , the field will be blank.

HKSCC.csv:

The following report records input activities performed by HKSCC on behalf of the HKSCC Participant:

#	Column Name	Format	Length	Value			
1	Trace ID	String	55	A unique ID generated by the system to record the user's input action			
2	Channel	String	1	W = Web input, A = API input. User reference: Since the users can perform actions through web interface and API, both "W" and "A" are able to be shown (where applicable).			
3	Stock Code	String	10	The IPO's stock code.			
4	Company Name	String	80	The IPO Company's full English name.			
5	User Company Name	String	100	The company name of the user performing the action (always "HKSCC").			
6	Timestamp	String	20	The system timestamp of the user's input action.			
7	Operation	String	80	Describes the user's input action: <table border="1" data-bbox="846 1045 1411 1133"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Authorise EIPO</td> </tr> <tr> <td>Invalidate EIPO</td> </tr> </tbody> </table> <p>If "Invalidate EIPO" is the Operation, Fields #12 to 20 will be blank.</p>	Value	Authorise EIPO	Invalidate EIPO
Value							
Authorise EIPO							
Invalidate EIPO							
8	Sub-flow Status	String	80	The sub-flow status of the EIPO instruction: <table border="1" data-bbox="846 1230 1411 1318"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Authorised</td> </tr> <tr> <td>Invalidated</td> </tr> </tbody> </table>	Value	Authorised	Invalidated
Value							
Authorised							
Invalidated							
9	Action	String	80	The action performed by the EIPO instruction: <table border="1" data-bbox="846 1367 1411 1421"> <thead> <tr> <th>Value</th> </tr> </thead> <tbody> <tr> <td>Addition</td> </tr> </tbody> </table>	Value	Addition	
Value							
Addition							

#	Column Name	Format	Length	Value
				Change Invalidation
10	Participant ID	String	6	The Participant ID of the HKSCC Participant.
11	Record ID	String	80	The instruction's Record ID.
12	ID Type	String	40	The instruction's ID Type.
13	ID Country / Jurisdiction	String	3	The instruction's ID Country / Jurisdiction.
14	ID Number	String	40	The instruction's ID Number.
15	Full Name (English)	String	150	The instruction's Full Name (English).
16	Full Name (Chinese or Non-English)	String	150	The instruction's Full Name (Chinese or Non-English).
17	Application Quantity	Integer	20	The instruction's Application Quantity.
18	SEHK Participant ID	String	5	The instruction's SEHK Participant ID used to identify the entity receiving the brokerage.
19	Own File Reference	String	40	The instruction's Own File Reference.
20	Duplicate Flag	String	1	"Y" to indicate whether the subscription has been identified as a duplicate within the HKSCC Participant's Authorised Ledger. Else, blank.
21	Invalidation Reason	String	40	The reason for which the subscription was invalidated. <ul style="list-style-type: none"> ▪ If "Authorise EIPO" is the Operation, this field will always be blank. ▪ If "Invalidate EIPO" is the Operation, this field will always be "HKSCC Cancellation".

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