

**Export Stock Code Mapping File  
Specification  
For China Stock Connect System  
(Northbound Trading)**

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## Modification History

Version	Date	Ref	Description and reason for modification	Changed Section
1.00	11 July 2014	N/A	First Release	N/A
1.01	21 Aug 2014	N/A	Include sample CSC Stock Code Mapping File	2.2
1.02	20 Sep 2016	N/A	Introduction of Shenzhen-Hong Kong Stock Connect	All

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## **1. Introduction**

This document provides technical information on the stock code mapping file that is disseminated to Exchange Participants (EPs) trading in the Northbound Trading Link established between Hong Kong Exchanges and Clearing Ltd (HKEX), Shanghai Stock Exchange (SSE) and Shenzhen Stock Exchange (SZSE). As northbound trading activities of EPs are conducted on the China Stock Connect System (CSC), the stock code mapping file is referred to as one of the CSC export files that is available to EPs for their own processing.

This document is intended for EPs trading on CSC to develop and customise their internal systems for processing of such data file.

The stock code mapping file will be generated before morning market open and is available for download by EPs via Electronic Communication Platform (ECP)<sup>1,2</sup>.

Note:

[1] Electronic Communication Platform (ECP) is a communication platform of HKEX which provides a paperless channel for EPs to download files, returns or any such other documents. EPs with valid User ID and password can access ECP via the internet. EPs participated in northbound trading will use the current ECP User ID and password to download CSC files.

[2] CSC stock code mapping file download link will be available in ECP once they become available on CSC trading day and before morning market open.

## 2. Export File Definitions

The records in the export files are of fixed length. The stock code mapping file has a header record but without a trailer record.

The record delimiter of the export files is the ASCII carriage return character (ASCII value 13) and linefeed character (ASCII value 10).

The field types in this specification can be:

X(n)	The alphanumeric field has n characters.
9(n)	The numeric field is right aligned, with maximum n digits, and padded with zero on the left.
Z(n)9	The numeric field is right aligned, with maximum n+1 digits, and padded with space on the left.  For example, a 4-digit numeric value should be presented as Z(3)9 and this can also be shown as ZZZ9.
9(m)V9(n)	The numeric field is right aligned with maximum m digits and n decimal places. The field is padded with leading zero on the left before the implied decimal point and is padded with trailing zero to the right of the decimal point.  For example, a numeric value of 4 digits and 2 decimal places should be presented as 9(4)V9(2) and this can also be shown as 9(4)V99.

## 2.1. CSC Stock Code Mapping File

The CSC stock code mapping file is a PC ASCII file. It contains all SSE and SZSE stock code eligible for northbound trading and their corresponding CCASS stock code.

This file is delivered in the morning before CSC market open and is zipped.

### ZIP File Name

STKMAPddmmyy\_AS.zip

### File Name

ASSTKMAP

### Header record (40 bytes)

Data Name	Format	Remarks
Record Type	X(1)	Value "0"
Trading Date	X(8)	In DDMMYYYY format
No of stocks transferred	Z(5)9	
Total of all stock codes transferred	Z(11)9	
Filler	X(13)	Spaces

### Data record (40 bytes)

There can be multiple detail records and each record contains the stock code mapping data of the specified stock. The records are sorted in ascending order of CSC stock codes, sort SSE stocks first and then sort SZSE stocks.

Data Name	Format	Remarks
Record Type	X(1)	Value "1"
CSC Stock Code	9(6)	SSE/SZSE trading stock code
CCASS Stock Code	9(5)	CCASS stock code for clearing purpose
Buy-sell Suspension Indicator	X(1)	"A" – Buy and sell is allowed "S" – Sell only "B" – Buy only "U" – stock suspended
Filler	X(27)	Spaces

## 2.2. Sample CSC Stock Code Mapping File

```
021092016    33    10800188
160000090000A
160000190001A
160000290002A
160000390003A
160000490004A
160000590005A
160000690006A
160000790007A
160000890008A
160000990009A
160001090010A
160001190011A
160001290012A
100000170001A
100000270002A
100000370003A
100000470004A
100000570005A
100000670006A
100000770007A
100000870008A
100000970009A
100001070010A
130000177001A
130000277002A
130000377003S
130000477004S
130000577005A
130000677006A
130000777007A
130000877008U
130000977009A
130001077010A
```