

## **File Transfer Function**

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**FUNCTION NAME:                    EIPO APPLICATION FILE TRANSFER**

**WHEN TO USE:**

- To **upload** Electronic Initial Public Offering ("EIPO") applications in the form of batch file from CCASS terminals to the HKSCC host computer.

**AVAILABLE FUNCTIONS:**

- A. Authorise EIPO Batch File Upload  
To authorise the EIPO batch file to be uploaded.
  
- B. EIPO Batch File Upload  
To upload the authorised EIPO batch file.

**AVAILABLE FUNCTION TIME:**

- EIPO batch file can be uploaded between 8:00 a.m. to 8:30 p.m. Monday to Friday, 8:00 a.m. to 1:00 p.m. on Saturday (except public holidays).

**BATCH PROCESSING SCHEDULE:**

- CCASS scheduled to validate and process the EIPO batch file at around 9:45 a.m., 10:15 a.m., 10:45 a.m., 11:30 a.m., 11:45 a.m., 12:00 noon, 3:00 p.m., 6:00 p.m., 7:00 p.m. and 8:30 p.m. on weekdays (Monday to Friday, except public holiday) and at around 10:00 a.m., 11:30 a.m., 11:45 a.m., 12:00 noon and 1:00 p.m. on Saturday (except public holidays).
  
- *Any EIPO files uploaded beyond the latest validation runs, i.e. after 8:30 p.m. on weekdays and / or 1:00 p.m. on Saturday, will be discarded by CCASS and will not be carried over to the next day. Also, NO EIPO Batch Input Control Report will be generated for files submitted beyond the said processing schedule. In addition, on EIPO application end date, any file being uploaded after the closing time (normally 12:00 noon) will be rejected. An error message will be prompted on screen to alert users upon rejection of file upload.*
  
- After uploading, the EIPO batch file will be validated and processed by CCASS and a *EIPO Batch Input Control Report* (See Section 4.3 on Report Description) will be generated to indicate which EIPO applications are rejected and to give a summary of the result for each validated EIPO batch file.

**FUNCTIONAL DESCRIPTION:**

- This function is to help participants to upload a high transaction volume of EIPO applications.

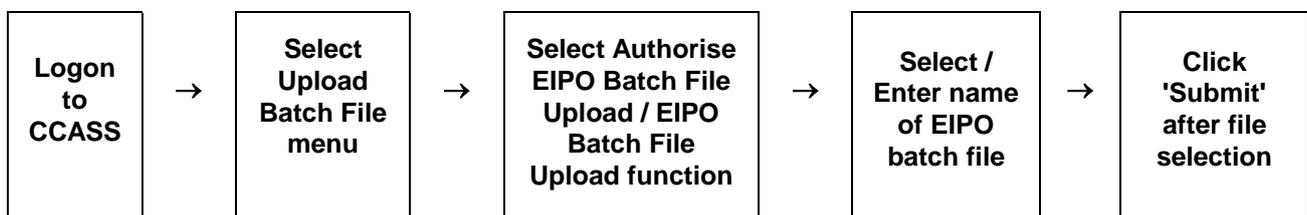
## Section 5.13

### EIPO Application File Transfer

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- Instead of inputting the EIPO applications one at a time by on-line data entry, an EIPO batch file containing the EIPO applications are uploaded to the HKSCC host computer to save effort. The EIPO batch file is a DOS file created according to a certain format stipulated by HKSCC. See Section 5.14 on EIPO Application batch file layout.
- The validation rule of each EIPO application entry is the same as the ADD EIPO APPLICATION function.
- The File Indicator [9(4)] recorded in each EIPO Application upload file has to be unique within same day. Upload files with duplicate "File Indicator" will be rejected by CCASS/3 upon submission.
- The EIPO batch file can be stored in any connected disk drive for the batch file uploading.
- For EIPO Application file transfer, the file name to be sent to CCASS can be any valid file name.
- All EIPO batch files uploaded will be processed. The processing sequence of EIPO batch files is determined by the time of the CCASS terminals used for uploading. This means that the file with the earliest time recorded in the upload file according to that specified in the CCASS terminals will be processed first.
- Individual record will be processed in the order as in the uploaded EIPO batch file.
- To upload EIPO batch file, an authoriser has to authorise the EIPO batch file being upload, then the maker perform the file transmission action via the EIPO BATCH FILE UPLOAD function.
- Upon selection of batch upload function, a new window will be displayed for maker to perform the upload function by selecting the respective authorised batch file, maker can access both upload function and other online functions concurrently.
- After the scheduled EIPO batch file validation run, participants can use the REPORT DOWNLOAD function (Section 4.1) to check the availability of the *EIPO Batch Input Control Report*, and print the report if necessary.

The access path for EIPO Application File Transfer is:



**EIPO APPLICATION FILE TRANSFER - Sample Screen**

<ul style="list-style-type: none"> <li>General Enquiries</li> <li>Enq Settlement Act / Status</li> <li>Delivery Instruction (DI)</li> <li>A/C Transfer Instr (ATI)</li> <li>Settlement Instruction (SI)</li> <li>Investor Stm Instr (ISI)</li> <li>ISI Counterparty List</li> <li>Payment Instruction</li> <li>Cash Prepayment</li> <li>Stock Borrowing / Lending</li> <li>SBL Bulletin Board</li> <li>General Stock Collateral</li> <li>Login Withdrawal Order</li> <li>Election Instruction</li> <li>Subscription Instruction</li> <li>Corp Voting Instruction</li> <li>EIPO Application</li> <li>Tender Instruction</li> <li>Corp Communication</li> <li>Upload Batch File</li> <li>Report Profile Maintenance</li> <li>View Circular</li> </ul>	<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="background-color: #0056b3; color: white; padding: 5px; border-radius: 3px;">Upload Batch File</div> <div style="text-align: right;"> <span>B0460301</span>  <span>FEAV 01</span>  <span>29-Apr-02 15:33</span> </div> </div> <div style="margin-top: 10px;"> <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="background-color: #0056b3; color: white; padding: 5px; border-radius: 3px;">Authorise EIPO Batch File Upload Prompt</div> </div> <div style="margin-top: 10px;"> <p>Original File Name : <input style="width: 150px;" type="text"/> <input type="button" value="Browse..."/></p> <div style="display: flex; justify-content: center; gap: 20px; margin-top: 10px;"> <input type="button" value="Submit"/> <input type="button" value="Refresh"/> </div> </div> </div>
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**DESCRIPTION OF FIELDS:**

<u><b>Field</b></u>	<u><b>Description/Format</b></u>
ORIGINAL FILE NAME	<ul style="list-style-type: none"> <li>- name of the EIPO batch file to be uploaded.</li> <li>- batch file can be selected via the connected disk drive by clicking the BROWSE button.</li> </ul>