

File Transfer Function

EIPO APPLICATION BATCH FILE LAYOUT

INTRODUCTION:

The EIPO Application File Transfer function is available to participants to upload the Electronic Initial Public Offering (EIPO) Application Batch File to CCASS. This function helps participants with high transaction volumes to avoid duplicating efforts in manually keying EIPO applications into CCASS. This section shows the EIPO application batch file layout adopted by CCASS.

DESIGN STANDARD:

- a) All interchange files are of fixed length records. If the total number of bytes in a record is less than the record length, the record will be packed with spaces to make up the length. Every record must have a record delimiter of carriage return and line feed (ASCII hexadecimal value X'0D0A') at the end.

The characters that can be contained in the file are as follows.

- digit : 0 to 9
- alphabets : a to z, A to Z
- special symbols : SPACE / + - ? : () , ' .
- record delimiter of carriage return and line feed
- a 1-character End-of-File Marker at the end of file (normally ASCII hexadecimal value X'1A')

- b) All interchange files are sequential files. There are two categories of records: detail and control records.

Detail records contain user information. A record checksum is calculated for each detail record by summing the data contents of essential numeric fields. It is calculated by the sender and checked by the receiver. Control header contains information such as participant ID, file name, etc., relevant to the file as a whole. Control trailer further protects the file using count of detail records and hash totals. Should there be any inconsistency in the record checksums, count of detail records or hash totals, the whole file will be discarded.

Different types of records are indicated by the first byte in the records.

- c) The maximum length of the record checksum in the detail record, the count of detail records and hash totals in the control trailer record are all confined to the data size value specified in the data size column of the record layout. Should overflow occur, the leading digit will be discarded.
- d) The maximum size of the batch file is limited to 2 mega bytes or 8002 lines including the header and trailer control records. Batch file with file size or number of lines exceeded this limit will be rejected

Section 5.14

EIPO Application Batch File Layout

EIPO APPLICATION BATCH FILE

This file contains the detailed information of EIPO applications prepared by participants' internal system, which will be uploaded to the CCASS host computer for EIPO application batch file input processing. Each record contains 86 bytes, followed by a 2-byte record delimiter.

Control Record:

<u>Data item</u>	<u>Data size</u>	<u>Remarks</u>
Record Type	X(1)	"0" = header record
File Indicator	9(4)	Mandatory, unique indicator assigned by participant, cannot be re-used within same day
Participant ID	X(6)	Must input, if Sender BIC field is blank
Sender BIC	X(8)	Optional field - Default as blank
Stock Code	X(5)	Even with ISIN entered, "00000" or spaces should be entered for numeric field validation.
ISIN	X(12)	Optional field - Default as blank
Stock Price	9(7)v9(5)	
Part Own File Reference	X(15)	
Batch Transmission Date	X(8)	YYYYMMDD
File Name	X(15)	'IPO UPL FILE'

Detail Record:

<u>Data item</u>	<u>Data size</u>	<u>Remarks</u>
Record Type	X(1)	"1" = Detail record
Application Quantity	9(11)	
Broker Seat Number	9(5)	
Beneficiary Owner	X(32)	
HKID or Business Registration Number of Beneficiary Owner	X(9)	
Filler	X(28)	

Control Record:

<u>Data item</u>	<u>Data size</u>	<u>Remarks</u>
Record Type	X(1)	"9" = trailer record
Total Number of Detail Records	9(9)	
Total Application quantity	9(18)	
Filler	X(58)	