

File Transfer Function

SSA BATCH FILE LAYOUT

INTRODUCTION:

Participants can upload SSA Batch File to CCASS via SSA File Transfer function. The function helps Participants to avoid efforts in manually adding each SSA into CCASS in case of high input volume. This section shows the SSA 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 headers contain information such as participant ID, file name, etc., relevant to the file as a whole. Control trailers further protect the file using record counts and hash totals. Should there be any inconsistency in the record checksums, record counts 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. The implied decimal point of a numeric field, as well as the sign, if any, is ignored. Should overflow occur, the leading digit will be discarded. Note that the sum of all record checksums in the control trailer record is the sum of the 12-digit record checksums (with leading digit discarded) of all detail records.
- d) The maximum size of the batch file is limited to 2 mega bytes or 1002 lines including the header and trailer control records. Batch file with file size or number of lines exceeded this limit will be rejected.

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SSA BATCH FILE

This file contains the detailed information of the SSA prepared by Participants' internal system, which will be uploaded to the CCASS host computer for SSA batch file input processing. Each record contains 472 bytes, followed by a 2-byte record delimiter.

<u>Data item</u>	<u>Data size</u>	<u>Remarks</u>
Control Record		
Record type	X(1)	"0" = control header
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 to blank
Participant own file reference	X(15)	
File transmission date	9(8)	YYYYMMDD
File name	X(15)	"SSA BATCH INPUT"
Filler	X(415)	Spaces
Detail Record		
Record type	X(1)	"1" = detail records
SSA No.	X(8)	Numeric. If account number contains less than 8 digits, pad it with leading blank space or leading zeroes.
Full Name	X(32)	
Short Name	X(15)	
Account Type	X(1)	'I' – Individual account 'J' – Joint account 'C' – Corporate account
Address Line 1	X(32)	
Address Line 2	X(32)	
Address Line 3	X(32)	
Address Line 4	X(32)	
Address Line 5	X(32)	
Domain	X(2)	'HK' – Hong Kong 'MA' – Macau 'CH' – Mainland China 'OT' – Others
Contact Phone No.	X(20)	
Receive Statement via Mail	X(1)	For non-SPSA: 'A' – Activity Statement only 'M' – Monthly Statement only 'B' – Both Activity Statement and Monthly Statement 'N' – Not receive Activity Statement and

<u>Data item</u>	<u>Data size</u>	<u>Remarks</u>
		Monthly Statement
Subscribe to SMS for Stock Movement	X(1)	For SPSA: Must be 'N' For non-SPSA: 'I' – Alert for stock movement – In only 'O' – Alert for stock movement – Out only 'A' – Alert for both stock movements in and out 'N' – No alert for all stock movements
Subscribe to SMS for STI	X(1)	For SPSA: Must be 'N' For non-SPSA: 'Y' – Alert for input of STI 'N' – No alert for input of STI
Subscribe to SMS for Voting	X(1)	For SPSA: Must be 'N' For non-SPSA: 'Y' – Alert for input of voting 'N' – No alert for input of voting
SMS Phone Number	X(20)	For SPSA: Must be blank
Mobile Carrier	X(4)	For non-SPSA: '1010' – 1010
Subscribe to Email Alert for Stock Movement	X(1)	For SPSA: Must be blank For non-SPSA: 'I' – Alert for stock movement – In only 'O' – Alert for stock movement – Out only 'A' – Alert for both stock movements in and out 'N' – No alert for all stock movements
Subscribe to Email Alert for STI	X(1)	For SPSA: Must be 'N' For non-SPSA: 'Y' – Alert for input of STI 'N' – No alert for input of STI
Subscribe to Email Alert for Voting	X(1)	For SPSA: Must be 'N' For non-SPSA: 'Y' – Alert for input of voting 'N' – No alert for input of voting
Email Address	X(40)	For SPSA: Must be blank
Receive Corporate Communication	X(1)	For non-SPSA: 'Y' - To receive corporate communications from listed issuers
		<i>Note : Listed issuers only send a notification and request form to non-registered holders whose listed securities are held in CCASS. Recipient who wishes to receive hard copies of corporate communications in the future should complete and return such request form to listed issuers directly.</i>
		'N' - Not to receive corporate

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<u>Data item</u>	<u>Data size</u>	<u>Remarks</u>
		communications from listed issuers
CCASS Phone Password	X(8)	For SPSA: Must be 'N' For SPSA: Must be blank
Language for Statement/SMS/Email	X(1)	'E' – English 'C' – Traditional Chinese 'S' – Simplified Chinese
Voting Delegation	X(1)	For non-SPSA: 'Y' – Yes 'N' – No
Affirmation Required	X(1)	For SPSA: Must be 'Y' For non-SPSA: 'Y' – Yes 'N' – No
Client Account Number	X(30)	For SPSA: Must be 'N'
Remarks Line 1	X(40)	
Remarks Line 2	X(40)	
Subscribe to Email Alert for Issuer Announcement published on HKEX Website	X(1)	For non-SPSA: 'Y' – Alert for the published Issuer Announcement of the stock which the SSA has share holdings (as at day end of previous CCASS day) 'N' – No alert for the published Issuer Announcement
Filler	X(39)	For SPSA: Must be 'N' Spaces
Detail Record		
Record type	X(1)	"2" = control trailer
Total number of detail records	9(5)	
Filler	X(466)	Spaces