File Transfer Function

CORPORATE COMMUNICATIONS RECIPIENT BATCH FILE LAYOUT

INTRODUCTION:

The Corporate Communications Recipient File Transfer function is available to participants to upload the Corporate Communications Recipient Batch File to CCASS. This function helps participants with high transaction volumes to avoid duplicating efforts in manually keying recipients' information into CCASS. This section shows the Corporate Communications Recipient 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 sub-record 1 and 3 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 5002 lines including the header and trailer control records. Batch file with file size or number of lines exceeded this limit will be rejected*

CORPORATE COMMUNICATIONS RECIPIENT BATCH FILE

This file contains the recipients' information of Corporate Communications events prepared by participants' internal system, which will be uploaded to the CCASS host computer for Corporate Communications Recipient batch file input processing. Each record contains 386 bytes.

Note that another record with record type "1" and sub-record type "3" is required when a recipient involves more than 5 Corporate Communications events, and one more such record is required for every additional 14 Corporate Communications events, and so on.

Control Record:

Data item	Data size	Remarks
Record type	X(1)	"0" = control header
Filler	X(1)	Space
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
Participant own file reference	X(15)	
File transmission date	9(8)	YYYYMMDD
File name	X(15)	"CORP CMN RECIPT"
Batch Reference	X(4)	Optional field, - Default as blank
		4 characters reference number assigned by participant
		• For multiple files uploaded with **same** Batch Reference, for the same event; CCASS will only take into account of those recipient records processed in the latest batch from the last uploaded file
		• For multiple files uploaded with **different** Batch References, for the same event; CCASS will take into account of all recipient records processed in various files and batches
Filler	X(324)	Spaces

Detail Record:

Data item	Data size	Remarks
Record type	X(1)	"1" = detail record
Sub-record type	X(1)	"1"
Recipient reference number	X(20)	Unique reference for recipient of a Participant
HKID/Passport/BR No.	X(20)	HKID, Passport or Business Registration number
Recipient name line 1	X(40)	
Recipient name line 2	X(40)	
Stock code of event 1	9(5)	Even with ISIN entered for the event, "00000" should be entered for numeric field validation.
ISIN of event 1	X(12)	Optional field - Default as blank
Record date of event 1	9(8)	YYYYMMDD*
Stock code of event 2	9(5)	
ISIN of event 2	X(12)	
Record date of event 2	9(8)	YYYYMMDD*
Stock code of event 3	9(5)	
ISIN of event 3	X(12)	
Record date of event 3	9(8)	YYYYMMDD*
Stock code of event 4	9(5)	
ISIN of event 4	X(12)	
Record date of event 4	9(8)	YYYYMMDD*
Stock code of event 5	9(5)	
ISIN of event 5	X(12)	
Record date of event 5	9(8)	YYYYMMDD*
Record checksum	9(14)	Sum of stock codes and record dates of event 1 to event 5
Filler	X(125)	Spaces

* Record date of the events normally equals to the file transmission date or one CCASS day before the file transmission date.

Detail Record:

Data item	Data size	Remarks
Record type	X(1)	"1" = detail record
Sub-record type	X(1)	"2"
Recipient reference number	X(20)	Unique reference for recipient of a Participant
Recipient address line 1	X(40)	
Recipient address line 2	X(40)	
Recipient address line 3	X(40)	
Recipient address line 4	X(40)	
Domain Indicator	X(2)	Mandatory field: 41 – Hong Kong, 31 – Overseas (Address other than HK)
Filler	X(202)	Spaces

Detail Record:

Data item	Data size	Remarks
Record type	X(1)	"1" = detail record
Sub-record type	X(1)	"3"
Recipient reference number	X(20)	Unique reference for recipient of a Participant
Stock code of event 6	9(5)	
ISIN of event 6	X(12)	
Record date of event 6	9(8)	YYYYMMDD*
Stock code of event 7	9(5)	
ISIN of event 7	X(12)	
Record date of event 7	9(8)	YYYYMMDD*
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Stock code of event 19	9(5)	
ISIN of event 19	X(12)	
Record date of event 19	9(8)	YYYYMMDD*
Record checksum	9(14)	Sum of stock codes and record dates of event 6 to event 19

* Record date of the events normally equals to the file transmission date or one CCASS day before the file transmission date.

Control Record:

Data item	Data size	Remarks
Record type	X(1)	"9" = control trailer
Filler	X(1)	Spaces
Total number of detail record	9(7)	
Total number of detail record sub-record type 1	9(7)	
Total number of detail record sub-record type 2	9(7)	
Total number of detail record sub-record type 3	9(7)	
Sum of all record checksum	9(17)	
Filler	X(339)	Spaces