

File Transfer Function

FUNCTION NAME: CRP FILE TRANSFER

WHEN TO USE:

- To **upload** corporate representative/proxy information in the form of batch file from CCASS terminals to the HKSCC host computer.
- This upload function does not support meeting with Cumulative Vote.

AVAILABLE FUNCTIONS:

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

AVAILABLE FUNCTION TIME:

- Corporate Representative/Proxy ('CRP') batch file can be uploaded between 8:00 a.m. to 4:15 p.m.

BATCH PROCESSING SCHEDULE:

- CCASS scheduled to validate and process the CRP batch file after 4:15 p.m.
- After uploading, the CRP batch file will be validated and processed by CCASS and a *CRP Batch Input Control Report* (See Section 4.3 on Report Description) will be generated to indicate which CRP records are rejected and to give a summary of the result after the batch file validation process.

FUNCTIONAL DESCRIPTION:

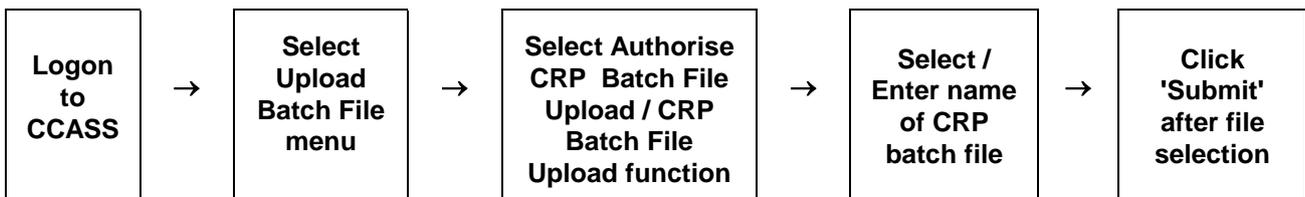
- This function is available to participants to help participants to upload a high transaction volume of CRP records.
- Instead of inputting the corporate representative/proxy information one at a time by on-line data entry, a CRP batch file containing the corporate representative/proxy information is uploaded to the HKSCC host computer to save effort. The CRP batch file is a DOS file created according to a certain format stipulated by HKSCC. See Section 5.10 on CRP batch file layout.
- The CRP batch file can be stored in any connected disk drive for the batch file uploading.

Section 5.9

CRP File Transfer

- For CRP file transfer, the file name to be sent to CCASS can be any valid file name.
- The File Indicator [9(4)] recorded in each CRP upload file has to be unique within same day. Upload files with duplicate "File Indicator" will be rejected by CCASS/3 upon submission.
- Multiple CRP batch files can be uploaded during a day, CCASS will process all uploaded files.
- To upload CRP batch file, an authoriser has to authorise the CRP batch file being upload, then the maker perform the file transmission action via the CRP 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 CRP batch file validation run, participants can use the REPORT DOWNLOAD function (Section 4.1) to check the availability of the *CRP Batch Input Control Report*, and print the report if necessary.

The access path for CRP File Transfer is:



<ul style="list-style-type: none"> General Enquiries Enq Settlement Act / Status Delivery Instruction (DI) A/C Transfer Instr (ATI) Settlement Instruction (SI) Investor Strm Instr (ISI) ISI Counterparty List Payment Instruction Cash Prepayment Stock Borrowing / Lending SBL Bulletin Board General Stock Collateral Login Withdrawal Order Election Instruction Subscription Instruction Corp Voting Instruction EIPO Application Tender Instruction Corp Communication Upload Batch File Report Profile Maintenance View Circular 	<p>Upload Batch File</p> <p style="text-align: right;"> Site Map Broadcast Message Report Download Announcement Information Change Password Print Logout </p> <p style="text-align: right;"> B0460301 FCRV 01 29-Apr-16 15:32 </p>	<p style="background-color: #0056b3; color: white; padding: 2px;">Authorise CRP Batch File Upload Prompt</p> <p>Original File Name : <input style="width: 100px;" type="text"/> <input type="button" value="Browse..."/></p> <p style="text-align: center;"> <input type="button" value="Submit"/> <input type="button" value="Refresh"/> </p> <p style="text-align: right;">Help</p>
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CRP FILE TRANSFER - Sample Screen

DESCRIPTION OF FIELDS:

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