

File Upload Function

CORPORATE REPRESENTATIVE/PROXY (CRP) BATCH FILE LAYOUT

INTRODUCTION:

The Corporate Representative/Proxy (CRP) File Transfer function is available to participants to upload the Corporate Representative/Proxy Batch File to CCASS. This function helps participants with high transaction volumes to avoid duplicating efforts in manually keying corporate representative or proxy's information into CCASS. This section shows the Corporate Representative/Proxy 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 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
- e) This upload function does not support meeting with Cumulative Vote.

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- f) Address field is an optional field and is only applicable to the appointment of Proxy. The address of "HKSCC Nominees Limited" will be provided to the issuer or appointed agent if this field is left blank.

CORPORATE REPRESENTATIVE/PROXY BATCH FILE

This file contains the detailed information of Corporate Representative / Proxy records prepared by participants' internal system, which will be uploaded to the CCASS host computer for the Corporate Representative / Proxy batch file input processing. Each record contains 251 bytes.

Note that for corporate representative/ open proxy appointment only record type '1' is required, but for proxy with voting preference, record type '2' is required for each voting resolution.

Control Header Record:

<u>Data Item</u>	<u>Data Size</u>	<u>Remarks</u>
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 as blank
Participant own file reference	X(15)	
File transmission date	9(8)	YYYYMMDD
File name	X(15)	"CRP BATCH INPUT"
Filler	X(194)	Spaces

Detail Records:

<u>Data Item</u>	<u>Data Size</u>	<u>Remarks</u>
Record Type	X(1)	"1" = CR/P detail record
Voting Instruction Number	X(9)	Cannot be the voting instruction number generated to SSA
Corporate Representative / Proxy Indicator	X(1)	R – corporate representative P – corporate proxy
Corporate Representative /Proxy Title	X(2)	Either 'MR' or 'MS' only
Corporate Representative Full Name / Proxy Full Name – 1	X(40)	
Corporate Representative Full Name / Proxy Full Name – 2	X(40)	
Proxy Address – 1	X(40)	
Proxy Address – 2	X(40)	
Proxy Address – 3	X(40)	
Proxy Address – 4	X(20)	
Corporate Representative / Proxy Holding	9(13)	Corporate Representative / Proxy Holding
Filler	X(5)	Spaces

<u>Data Item</u>	<u>Data Size</u>	<u>Remarks</u>
Record Type	X(1)	"2" = proxy resolution detail record Must be equal to that of record type "1"
Voting Instruction Number	X(9)	Cannot be the voting instruction number generated to SSA
Corporate Representative / Proxy Indicator	X(1)	P – corporate proxy only
Corporate Representative /Proxy Title	X(2)	Either 'MR' or 'MS' only Must be equal to that of record type "1"
Corporate Representative Full Name / Proxy Full Name – 1	X(40)	Must be equal to that of record type "1"
Corporate Representative Full Name / Proxy Full Name – 2	X(40)	Must be equal to that of record type "1"
Resolution Number	9(2)	For proxy only, must be greater than zero and less than or equal to 60.
For	9(13)	For proxy only, if input, must be equal to corporate representative/proxy holding in record type "1". 'Against' and 'Abstain/Withhold' and "Non Voted" must be equal to zero.
Against	9(13)	For proxy only, if input, must be equal to corporate representative/proxy holding in record type "1". 'For' and 'Abstain/Withhold' and "Non Voted" must be equal to zero
Abstain/Withhold	9(13)	For proxy only, if input, must be equal to corporate representative/proxy holding in record type "1". 'For' and 'Against' and "Non Voted" must be equal to zero
Non Voted	9(13)	For proxy only, 'For' and 'Against' and 'Abstain/Withhold' must be equal to zero
Record Checksum	9(17)	Sum of Resolution number, For, Against, Abstain/Withhold and Non Voted
Filler	X(87)	Spaces

Control Trailer Record:

<u>Data Item</u>	<u>Data Size</u>	<u>Remarks</u>
Record Type	X(1)	"3" = control trailer
Total number of detail records	9(4)	
Sum of all corporate representative / Proxy holding	9(17)	
Sum of all record checksums	9(17)	
Filler	X(212)	Spaces