Fast Interface for New Issuance (FINI)

EIPO Technical Guide
[For market-wide testing]

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Versions

Publication Date	Version
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1. Introduction

✕ What is FINI?

"FINI" (*Fast Interface for New Issuance*) is a software platform owned and operated by HKSCC to modernise Hong Kong's IPO settlement process.

FINI allows relevant market participants and authorities to interact digitally and seamlessly on the many important steps that comprise the end-to-end settlement process for new listings. Leveraging modern and user-friendly interfaces with common workflow logic and data standards, the use of FINI allows IPOs to start trading on the Exchange as soon as "T+2", two business days after pricing.

✕ Purpose

This document is a technical guide for HKSCC Participants to implement their system operations in relation to EIPO subscription and allotment under FINI. This version is being released to market participants in preparation of FINI's market-wide testing, and may be further refined during market rehearsal and before FINI's roll-out.

✕ Further Information

For further information, such as other training materials, latest market readiness updates and the API Guide, please visit: https://www.hkex.com.hk/fini

2. Data Specifications

X EIPO Bulk Upload File

The EIPO Bulk Upload file is used by maker role users to upload instructions by bulk via the EIPO Subscription interface. It is a fixed-length data file containing:

- a header record;
- a control record; and
- 1 to 50,000 detailed record(s).

Data conventions:

Type	Length	Description	Example
String	[n]	Fully UTF-8 encoded string characters, left-justified with trailing spaces unless otherwise stated.	Field "Stock Code" has the following parameters: **Format** — String, **Length** — 10 If the Stock Code is **9988** (exclude ' '): **Successful examples:** '9988 ' **Unsuccessful examples:** ' 9988', '09988 ', '0000009988'
Integer	[n]	Field digits only, right-justified with leading spaces unless otherwise stated.	Field "ID Type" has the following parameters: **Format** — Integer, **Length** — 2 If the submitter is inputting **2** (exclude ' '): **Successful examples:** ' 2' **Unsuccessful examples:** '2 ', '02'

File format:

#	Value
File extension	.TXT
Encoding	UTF-8
Delimiter	[None]

Data Fields

Header record:

#	Field Name	Format	Length	Req.?	Description
1	Record Type	String	1	Yes	Should always be '0' for header record.
2	Participant ID	String	6	Yes	CPs should provide their own HKSCC Participant ID within this field.
3	Stock Code	String	10	No	The IPO's stock code. Mandatory if ISIN [Field #4] is blank.
4	ISIN	String	12	No	The IPO's ISIN. Mandatory if Stock Code [Field #3] is blank.
5	Own File Reference	String	15	No	Free text input reserved for CPs.
6	Upload Date	String	8	Yes	Must be the current date, in "YYYYMMDD" format.
7	File Indicator	String	4	Yes	Unique indicator that cannot be re-used within the same calendar date per IPO case (via stock code / ISIN) per submitter. Only capital letters and numbers are accepted.
8	File ID	String	20	Yes	Always 'IPO UPL FILE ' (must have exactly 8 trailing spaces characters after 'IPO UPL FILE').

Detailed record(s):

#	Field Name	Format	Length	Req.?	Description
1	Record Type	String	1	Yes	Should always be '1' for detailed record.
2	Action	String	2	Yes	Must be one of the following values: <table><tr><th>Value (excl. ' ')</th><th>Description</th></tr><tr><td>'1 '</td><td>Addition</td></tr><tr><td>'2 '</td><td>Change</td></tr><tr><td>'3 '</td><td>Invalidation</td></tr></table>

The subsequent validation rules are based on the field value of Action [Field #2].

Addition:

#	Field Name	Format	Length	Req.?	Description
3	Record ID	String	17	No	Must be blank for addition action. Upon successful creation, FINI will generate a globally unique reference number for the subscription, containing a 16-digit integer and a single-string suffix to indicate the channel through which the subscription is created: ▪ O = Online Input ▪ B = Bulk Upload ▪ A = API Request
4	Number of Account Holders	Integer	2	Yes	The number of account holders for a joint account subscriber. If the instruction does not represent a joint account subscriber, the value must be 1. The maximum number is 4.
5	Joint Account Reference	String	10	No	A reference number used to group data rows based on joint account holders within the Bulk Upload file. Mandatory only if Number of Account Holders [Field #4] > 1. Data rows having the same Joint Account Reference must share the same Number of Account Holders [Field #4], Application Quantity [Field #11], SEHK Participant ID [Field #12] and Own File Reference [Field #13]. Provide 10 space characters if blank.
6	ID Type	Integer	2	Yes	The type of identification document held by the subscriber. Must be one of the following values: _(see table below)_ If Number of Account Holders [Field #4] > 1, then must be ' 1', ' 2' or ' 3'.
7	ID Country / Jurisdiction	String	3	Yes	The authority issuing the identification document held by the subscriber, represented in ISO-3166 Alpha-3 format, or 'OTH' to represent Other. If ID Type [Field #6] = ' 1' (HKID), then must be "HKG". If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), then must be "OTH".
8	ID Number	String	40	Yes	If ID Type [Field #6] = ' 1' (HKID), then must be a concatenation (no spaces) of: ▪ Prefix: 1-2 uppercase alphabetical characters ▪ ID number: 6-digit integers ▪ Check digit: 0 to 9, or 'A', enclosed by parentheses _(see examples below)_

Table for Field #6 (ID Type):

Value (excl. ' ')	Description
' 1'	HKID
' 2'	National identification document
' 3'	Passport
' 4'	LEI registration document
' 5'	Certificate of incorporation
' 6'	Business registration certificate
' 7'	Other official incorporation document
' 8'	Broker-to-Client Assigned Number

Examples for Field #8 (ID Number):

Successful examples	Unsuccessful examples
▪ Y123456(7)	▪ Y123456
▪ YZ123456(7)	▪ Y123456?
▪ Y123456(A)	▪ Y1234567

#	Field Name	Format	Length	Req.?	Description
					If Field #2 (ID Type 1) = ' 4' (LEI registration document), then must be exactly 20 uppercase alphanumeric characters. If Field #2 (ID Type 1) = ' 8' (Broker-to-Client Assigned Number), must be in 'xxxxxx.##########' format, where: • 'x' = a text string of exactly 6 uppercase alphanumeric characters • '.' = a delimiter to separate "x" and "#" • '#' = a positive integer up to 10 characters **Successful examples** / **Unsuccessful examples** • ABC123.1123456789 / • ABC123.0000000000 • ABC123.112345678 / • ABC123.0000012345 If Field #2 (ID Type) = ' 2' (National identification document), ' 3' (Passport), ' 5' (Certificate of incorporation), ' 6' (Business registration certificate) or ' 7' (Other official incorporation document), then no special business validation on format.
9	Full Name (English)	String	150	No	Must be alphabetical characters only. If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), must be blank. If Full Name (Chinese or Non-English) [Field #10] = blank, must be non-blank. Provide 150 space characters if blank.
10	Full Name (Chinese or Non-English)	String	150	No	Fully UTF-8 encoded. If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), must be blank. If Full Name (English) [Field #9] = blank, must be non-blank. Provide 150 space characters if blank.
11	Application Quantity	Integer	20	Yes	Must be a valid application quantity within the IPO's denomination table.
12	SEHK Participant ID	String	5	Yes	Must be a valid SEHK Participant ID or '00000' (for SEHK) to identify the entity receiving the brokerage.
13	Own File Reference	String	40	No	Free text input reserved for CPs. Provide 40 space characters if blank.

Change:

#	Field Name	Format	Length	Req.?	Description
3	Record ID	String	17	No	Must be a valid Record ID in CP's own EIPO application list.
4	Number of Account Holders	Integer	2	Yes	The number of account holders for a joint account subscriber. If the instruction does not represent a joint account subscriber, the value must be 1. The maximum number is 4.
5	Joint Account Reference	String	10	No	A reference number used to group data rows based on joint account holders within the Bulk Upload file. Mandatory only if Number of Account Holders [Field #4] > 1. Data rows having the same Joint Account Reference must share the same Number of Account Holders [Field #4], Application Quantity [Field #11], SEHK Participant ID [Field #12] and Own File Reference [Field #13]. Provide 10 space characters if blank.
6	ID Type	Integer	2	Yes	The type of identification document held by the subscriber. Must be one of the following values: **Value (excl. ' ')** / **Description** ' 1' / HKID

					' 2' National identification document
					' 3' Passport
					' 4' LEI registration document
					' 5' Certificate of incorporation
					' 6' Business registration certificate
					' 7' Other official incorporation document
					' 8' Broker-to-Client Assigned Number
					If Number of Account Holders [Field #4] > 1, then must be ' 1', ' 2' or ' 3'.
7	ID Country / Jurisdiction	String	3	Yes	The authority issuing the identification document held by the subscriber, represented in ISO-3166 Alpha-3 format, or 'OTH' to represent Other. If ID Type [Field #6] = ' 1' (HKID), then must be "HKG". If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), then must be "OTH".
8	ID Number	String	40	Yes	If ID Type [Field #6] = ' 1' (HKID), then must be a concatenation (no spaces) of: ▪ Prefix: 1-2 uppercase alphabetical characters ▪ ID number: 6-digit integers ▪ Check digit: 0 to 9, or 'A', enclosed by parentheses | Successful examples	Unsuccessful examples
---	---
▪ Y123456(7) ▪ YZ123456(7) ▪ Y123456(A)	▪ Y123456 ▪ Y123456? ▪ Y1234567	 If Field #2 (ID Type 1) = ' 4' (LEI registration document), then must be exactly 20 uppercase alphanumeric characters. If Field #2 (ID Type 1) = ' 8' (Broker-to-Client Assigned Number), must be in 'xxxxxx.##########' format, where: ▪ 'x' = a text string of exactly 6 uppercase alphanumeric characters ▪ '.' = a delimiter to separate "x" and "#" ▪ '#' = a positive integer up to 10 characters 	Successful examples	Unsuccessful examples
---	---
▪ ABC123.1123456789 ▪ ABC123.112345678	▪ ABC123.0000000000 ▪ ABC123.0000012345	 If Field #2 (ID Type) = ' 2' (National identification document), ' 3' (Passport), ' 5' (Certificate of incorporation), ' 6' (Business registration certificate) or ' 7' (Other official incorporation document), then no special business validation on format.
9	Full Name (English)	String	150	No	Must be alphabetical characters only. If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), must be blank. If Full Name (Chinese or Non-English) [Field #10] = blank, must be non-blank. Provide 150 space characters if blank.
10	Full Name (Chinese or Non-English)	String	150	No	Fully UTF-8 encoded. If ID Type [Field #6] = ' 8' (Broker-to-Client Assigned Number), must be blank.

					If Full Name (English) [Field #9] = blank, must be non-blank. Provide 150 space characters if blank.
11	Application Quantity	Integer	20	Yes	Must be a valid application quantity within the IPO's denomination table.
12	SEHK Participant ID	String	5	Yes	Must be a valid SEHK Participant ID or '00000' (for SEHK) to identify the entity receiving the brokerage.
13	Own Reference	String	40	No	Free text input reserved for CPs. Provide 40 space characters if blank.

Invalidation:

#	Field Name	Format	Length	Req.?	Description
3	Record ID	String	17	No	Must be a valid Record ID in CP's own EIPO application list.
4	Number of Account Holders	Integer	2	Yes	Must be blank. Provide 2 space characters.
5	Joint Account Reference	String	10	No	Must be blank. Provide 10 space characters.
6	ID Type	Integer	2	Yes	Must be blank. Provide 2 space characters.
7	ID Country / Jurisdiction	String	3	Yes	Must be blank. Provide 3 space characters.
8	ID Number	String	40	Yes	Must be blank. Provide 40 space characters.
9	Full Name (English)	String	150	No	Must be blank. Provide 150 space characters.
10	Full Name (Chinese or Non-English)	String	150	No	Must be blank. Provide 150 space characters.
11	Application Quantity	Integer	20	Yes	Must be blank. Provide 20 space characters.
12	SEHK Participant ID	String	5	Yes	Must be blank. Provide 5 space characters.
13	Own Reference	String	40	No	Must be blank. Provide 40 space characters.

Control record:

#	Field Name	Format	Length	Req.?	Description
1	Record Type	String	1	Yes	Should always be '9' for detailed record.
2	Total Number of Detailed Records	Integer	32	Yes	Must match the total number of detailed records
3	Total Application Quantity	Integer	32	Yes	Sum of Application Quantity within detailed records. Joint subscribers are counted multiple times.

Sample

Header record:

#	1	2	3	4	5	6	7	8
Field Name	Record Type	Participant ID	Stock Code	ISIN	Own Reference	Upload Date	File Indicator	File ID
Length	1	6	10	12	15	8	4	20
Value	0	C00005	9595			20220811	AB12	IPO UPL FILE

Detailed records:

#	1	2	3	4	5	6	7	8	9	10	11	12	13
Field Name	Record Type	Action	Record ID	Number of Account Holders	Joint Account Reference	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	SEHK Participant ID	Own File Reference
Length	1	2	17	2	10	2	3	40	150	150	20	5	40
Value	1	1		1		1	HKG	V458746(4)	Emily Zhao		200	00000	
	1	1		2	M2vsq7JDNC	1	HKG	F192400(8)	Jerry Bai		1000	00000	
	1	1		2	M2vsq7JDNC	1	HKG	P292332(0)	Carolyn Gao	高煦涵	1000	00000	
	1	1		1		1	HKG	Y420351(6)	Ashley Meng		400	00000	
	1	2	3771409870731418B	1		1	HKG	M937539(8)	Charles Zhou		3000	00000	
	1	2	5330321211778203B	2	Q1bFLso28x	1	HKG	S957701(9)	Alan Qiao		600	00000	
	1	2	5330321211778203B	2	Q1bFLso28x	1	HKG	J415675(4)	Aaron Han		600	00000	
	1	2	6406557222533150B	1		4	OTH	8274001NTNQJAJ60HM02	Best IPO Investments Ltd		10000	00000	
	1	3	5814168481386212B										
	1	3	5512402066579845B										

Control record:

#	1	2	3
Field Name	Record Type	Total Number of Detailed Records	Total Application Quantity
Length	1	32	32
Value	9	10	16800

Data file (copy into a text editor for a better view):

```
0C000059595          20220804AB12IPO UPL FILE
11        1    1HKGV458746(4)            Emily Zhao                                                          20000000
11             2M2vsq7JDNC 1HKGF192400(8)            Jerry Bai                                              100000000
11             2M2vsq7JDNC 1HKGP292332(0)            Carolyn Gao            高煦涵                           100000000
11        1    1HKGY420351(6)            Ashley Meng                                                         40000000
12 3771409870731418B 1        1HKGM937539(8)            Charles Zhou                                        300000000
12 5330321211778203B 2Q1bFLso28x 1HKGS957701(9)            Alan Qiao                                        60000000
12 5330321211778203B 2Q1bFLso28x 1HKGJ415675(4)            Aaron Han                                        60000000
12 6406557222533150B 1        4OTH8274001NTNQJAJ60HM02          Best IPO Investments Ltd                   1000000000
13 5814168481386212B
13 5512402066579845B
9              10         16800
```

Validation checks

Error Codes:

#	System Message	Rejection type
2001	Invalid record type identified within file.	Whole
2002	Record Type cannot be left blank.	Whole (Field in the Header)
2003	Participant ID cannot be left blank.	Whole (Field in the Header)
2004	Upload Date cannot be left blank.	Whole (Field in the Header)
2005	File Indicator cannot be left blank.	Whole (Field in the Header)
2006	File ID cannot be left blank.	Whole (Field in the Header)
2007	Record Type cannot be left blank.	Whole (Field in the Control)
2008	Total Number of Detailed Records cannot be left blank.	Whole (Field in the Control)
2009	Total Application Quantity cannot be left blank.	Whole (Field in the Control)
2010	Header record length must have a length of 76 characters.	Whole
2011	Header record missing within file.	Whole
2012	Multiple header records (must be one) identified within file	Whole
2013	Invalid Participant ID within header record.	Whole
2014	Either ISIN or Stock Code cannot be empty.	Whole
2015	Invalid ISIN (must be left justified with no leading zeroes) within header record.	Whole
2016	Invalid Stock Code or ISIN within header record.	Whole
2017	Invalid Stock Code (must be left justified with no leading zeroes) within header record.	Whole
2018	Invalid Upload Date format (must be 'YYYYMMDD') within header record.	Whole
2019	Invalid Upload Date (must be current day in HKT).	Whole
2020	File Indicator cannot be re-used within the same day.	Whole
2021	Incorrect format (only capital English letters or numbers are allowed), please upload again.	Whole

2022	File ID must be "IPO UPL FILE".	Whole
2023	Invalid control record length within the file.	Whole
2024	Control record missing within file.	Whole
2025	Multiple control records (must be one) identified within file.	Whole
2026	Invalid format for Total Number of Detailed Records.	Whole
2027	The total number of detailed record(s) found within file does not equal to Total Number of Detailed Records in the control record.	Whole
2028	Invalid format for Total Application Quantity	Whole
2029	The total sum of application quantity across detailed Records' Application Quantity found in the file does not equal to the Total Application Quantity in the control record.	Whole
2030	Record Type cannot be left blank.	Individual (Field in the Detail Record)
2031	Action cannot be left blank.	Individual (Field in the Detail Record)
2032	Record ID cannot be left blank.	Individual (Field in the Detail Record)
2033	Number of Account Holders cannot be left blank.	Individual (Field in the Detail Record)
2034	Joint Account Reference cannot be left blank.	Individual (Field in the Detail Record)
2035	ID Type cannot be left blank.	Individual (Field in the Detail Record)
2036	ID Country / Jurisdiction cannot be left blank.	Individual (Field in the Detail Record)
2037	ID Number cannot be left blank.	Individual (Field in the Detail Record)
2038	Application Quantity cannot be left blank.	Individual (Field in the Detail Record)
2039	SEHK Participant ID cannot be left blank.	Individual
2040	Detailed record length must have a length of 442 characters.	Individual
2041	Detailed record(s) missing within file.	Whole
2042	Invalid Action within detailed record.	Individual
2043	The Record ID of addition data rows must be blank.	Individual
2044	Must be a valid Record ID under Authorised status.	Individual
2045	The Record ID cannot be duplicated against records in Pending status.	Individual
2046	Invalid format for Number of Account Holders.	Individual
2047	Invalid Number of Account Holders within detailed record (must be 1 to 4).	Individual
2048	Number of Account Holders for invalidation data rows must be blank.	Individual
2049	Invalid ID Type within detailed record.	Individual
2050	ID Type for invalidation data rows must be blank	Individual
2051	ID Country / Jurisdiction must be 'HKG' for ID Type 1.	Individual
2052	ID Country / Jurisdiction must be 'OTH' for ID Type 8.	Individual
2053	Invalid format for ID Country / Jurisdiction.	Individual
2054	ID Country / Jurisdiction for invalidation data rows must be blank.	Individual

2055	Invalid HKID identified in ID Number (must be in the same format as the document, including brackets).	Individual
2056	Invalid LEI (must be exactly 20 uppercase alphanumeric characters).	Individual
2057	Invalid format for Broker-to-Client Assigned Number as ID Number (must include the CE number and BCAN, delimited by ".")	Individual
2058	ID Number for invalidation data rows must be blank.	Individual
2059	If Full Name (Chinese or Non-English) is blank, Full Name (English) must be non-blank.	Individual
2060	Only English letters and special characters (including space, ",", ".", "_" and "-") are permitted.	Individual
2061	Full Name (English) for ID Type 8 must be blank.	Individual
2062	Full Name (English) for invalidation data rows must be blank.	Individual
2063	If Full Name (English) is blank, Full Name (Chinese or Non-English) must be non-blank.	Individual
2064	Full Name (Chinese or Non-English) for invalidation data rows must be blank.	Individual
2065	Full Name (Chinese or Non-English) for ID Type 8 must be blank.	Individual
2066	Invalid characters are not permitted.	Individual
2067	Invalid format for Application Quantity.	Individual
2068	Application Quantity must be a figure listed under denomination table.	Individual
2069	Application Quantity for invalidation data rows must be blank.	Individual
2070	Must be a valid SEHK Participant ID without leading zeroes.	Individual
2071	SEHK Participant ID for invalidation data rows must be blank.	Individual
2072	Own file reference for invalidation instructions must be blank.	Individual
2073	The number of data rows having same Joint Account Reference must be the same as the Number of Account Holders.	Individual
2074	Data rows sharing the same Joint Account Reference must have the same Application Quantity.	Individual
2075	Data rows sharing the same Joint Account Reference must have the same SEHK Participant ID.	Individual
2076	Data rows sharing the same Joint Account Reference must have the same Own File Reference.	Individual
2077	Another data row sharing the same Joint Account Reference did not pass the required validation checks.	Individual
2078	Joint Account Reference for invalidation instructions must be blank.	Individual
2079	The deadline for uploading EIPO subscription has passed.	Whole
2080	Incorrect format (.TXT only), please upload again.	Whole
2081	File size cannot exceed 25mb, please upload again.	Whole
2082	The number of detailed records cannot exceed 50,000, please upload again.	Whole
2083	The Record ID cannot be duplicated against records in the current batch of submissions.	Individual
2084	Your EIPO Enquire Only Status has been changed. Please contact HKSCC for any enquiries.	Whole
2085	Data rows sharing the same Joint Account Reference must have the same Record ID.	Individual
2086	Data rows sharing the same Joint Account Reference must not have duplicate applicant information.	Individual
2087	The system has no record of your designated bank supporting [currency] settlement for the IPO of [IPO Company Name].	Whole

X CP EIPO Allotment Report

The CP EIPO Allotment Report allows HKSCC Participants to download the allotment results for a particular IPO case via the EIPO Allotment interface. Joint account subscriptions are displayed as multiple data rows, grouped by the same Record ID. The display order of the data rows follows the input sequence of the subscriptions.

Setup

Report Name	FINI - EIPO ALLOT 01_[##########]_[$$$$$$]_[YYYYMMDDHHMM]
Description	########## = Stock Code $$$$$$ = Participant ID of the HKSCC Participant YYYYMMDDHHMM = Report generation timestamp
Availability	On-demand
Format	.CSV

Data Fields

File format:

#	Value
File extension	.CSV
Encoding	UTF-8
Delimiter	, (comma)
Enclosed	" " (double-quotes)

Data fields:

#	Column Name	Format	Length	Value
1	Stock Code	String	10	The IPO's stock code.
2	Record ID	String	17	The original subscription's Record ID.
3	ID Type	String	80	The original subscription's ID Type.
4	ID Country / Jurisdiction	String	3	The original subscription's ID Country / Jurisdiction.
5	ID Number	String	40	The original subscription's ID Number.
6	Full Name (English)	String	150	The original subscription's Full Name (English).
7	Full Name (Chinese or Non-English)	String	150	The original subscription's Full Name (Chinese or Non-English).
8	Application Quantity	Integer	20	The number of securities subscribed in the original subscription.

9	Application Value	Decimal	20,2	The value of securities subscribed in the original subscription.
10	Allotted Quantity	Integer	20	The number of securities allotted to the subscription.
11	Allotted Value	Decimal	20,2	The value of securities allotted to the subscription.
12	Unsuccessful Reason	String	40	If the subscription was not allotted any securities, the unsuccessful reason: **Value** 01 – Not allotted 02 – Failed pre-funding 03 – Duplicate application 04 – Incomplete information 05 – Invalid BCAN 06 – EIPO default 99 – Others If the subscription was successfully allotted securities, this field will be blank.
13	Own Reference	String	40	The original subscription's Own Reference.

Control record:

#	Column Name	Format	Length	Value
1	Total Number of Unique Records	String	30	'Total Number of Unique Records'
2	Total Number of Unique Records (Value)	String	20	Total number of unique records within report. Joint account subscriptions with multiple data rows are only counted once.
3	Total Allotted Quantity	String	23	'Total Allotted Quantity'
4	Total Allotted Quantity (Value)	String	21,2	Total allotted quantity based on unique records within report. Joint account subscriptions with multiple data rows are only counted once.

Sample

Data fields:

#	1	2	3	4	5	6	7	8	9	10	11	12	13
Field Name	Stock Code	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	Application Value	Allotted Quantity	Allotted Value	Unsuccessful Reason	Own Reference
Length	10	17	80	3	40	150	150	20	20,2	20	20,2	40	40
Value	9595	5827461092 170040O	HKID	HKG	J294814(0)	Kyle Zheng		400	12120.94	0	0	03 - Duplicate application	Client 4623
	9595	3226902337 407525B	HKID	HKG	K467944(6)	Christine Pan		700	21211.65	100	2020.16		Client 2364
	9595	9454229098 976604B	HKID	HKG	A298957(7)	Terry Wan		1000	30302.36	200	4040.31		Client 5110

Stock Code	Record ID	ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity	Application Value	Allotted Quantity	Allotted Value	Unsuccessful Reason	Own Reference
9595	4218458236882262B	HKID	HKG	B463207(3)	Scott Yin		100	3030.24	0	0	01 - Not allotted	Client 1812
9595	1486564275928807B	HKID	HKG	D905321(5)	Jeremy Pan		100	3030.24	0	0	01 - Not allotted	Client 3108
9595	7755587419462189B	HKID	HKG	S776756(7)	Steven Wang		100	3030.24	0	0	01 - Not allotted	Client 6845
9595	3884833922954384B	HKID	HKG	Y648657(9)	Patrick Xiao		200	6060.47	100	2020.16		Client 3745
9595	8392788715647797B	HKID	HKG	V038283(6)	Bryan Qian		400	12120.94	100	2020.16		Client 9471
9595	5489453672028725B	HKID	HKG	J294814(0)	Raymond Wu		1000	30302.36	0	0	03 - Duplicate application	Client 4623
9595	9899427834359175B	HKID	HKG	K376150(1)	Amanda Hou		200	6060.47	100	2020.16		Client 2373

Control record:

#	1	2	3	4
Field Name	Total Number of Unique Records	Total Number of Unique Records (Value)	Total Allotted Quantity	Total Allotted Quantity (Value)
Length	30	20	23	21,2
Value	Total Number of Unique Records	10	Total Allotted Quantity	600

Data file (copy into a text editor for a better view):

```
Stock Code,Record ID,ID Type,ID Country / Jurisdiction,ID Number,Full Name (English),Full Name (Chinese or Non-English),Application Quantity,Application Value,Allotted Quantity,Allotted Value,Unsuccessful Reason,Own Reference
9595,5827461092170040O,1,HKG,J294814(0),Kyle Zheng,,400,12120.94,0,0,03 - Duplicate application,Client 4623
9595,3226902337407525O,1,HKG,K467944(6),Christine Pan,,700,21211.65,100,2020.16,,Client 2364
9595,9454229098976604O,1,HKG,A298957(7),Terry Wan,,1000,30302.36,200,4040.31,,Client 5110
9595,4218458236882262O,1,HKG,B463207(3),Scott Yin,,100,3030.24,0,0,01 - Not allotted,Client 1812
9595,1486564275928807O,1,HKG,D905321(5),Jeremy Pan,,100,3030.24,0,0,01 - Not allotted,Client 3108
9595,7755587419462189O,1,HKG,S776756(7),Steven Wang,,100,3030.24,0,0,01 - Not allotted,Client 6845
9595,3884833922954384O,1,HKG,Y648657(9),Patrick Xiao,,200,6060.47,100,2020.16,,Client 3745
9595,8392788715647797O,1,HKG,V038283(6),Bryan Qian,,400,12120.94,100,2020.16,,Client 9471
9595,5489453672028725O,1,HKG,J294814(0),Raymond Wu,,1000,30302.36,0,0,03 - Duplicate application,Client 4623
9595,9899427834359175O,1,HKG,K376150(1),Amanda Hou,,200,6060.47,100,2020.16,,Client 2373
Total Number of Unique Records,10,Total Allotted Quantity,600,,,,,,
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