



**Fast Interface for
New Issuance (FINI):**

**Update for HKSCC
Participants**

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Summary

HKEX plans to roll out FINI in **Q4 2022**, the new platform for IPO market participants and regulatory authorities to interact seamlessly, allowing new shares to start trading as soon as **“T+2”**.

01 Recap of changes under FINI

02 User journey of T+2 IPO timetable

03 On-boarding procedures

04 Next milestones

Recap of changes under FINI



01 Recap of changes under FINI

A

Standardised
“T+2” IPO timetable



- All listings start trading 2 business days after pricing determination
- “T+3” or longer only available with the Listing Division’s advance consent

Reference:

[Information Pack, FAQs A6 and D1](#)

B

Full migration to
FINI EIPO



- FINI will launch via a one-time cutover, replacing the incumbent CCASS EIPO
- Enablement of more real-time functions, such as data processing and reporting

Reference:

[Information Pack, Steps 2 and 3 of FAQs B1 and F4](#)

C

Pre-funding lock-up
mechanism



- CPs pre-fund EIPO subscriptions by locking funds at their designated banks
- Compression of pre-funding requirement if EIPO subscriptions > public offer size

Reference:

[Information Pack, FAQs E14-E23](#)

01 Comparison with CCASS EIPO

Step	Info. Pack FAQ	Remains the same as today	Changes under FINI
Subscription	Step 2 of FAQs B1 and E7	<ul style="list-style-type: none"> Subscription period of at least 3.5 business days Online input / bulk upload formats supported 	<ul style="list-style-type: none"> New API channel for managing subscriptions Data fields and lengths of bulk upload file Real-time validation of all data inputs Structured data reports (subscriptions / input activities)
Funding	Step 3 of FAQs B1 and E15-E23	<ul style="list-style-type: none"> Appointment of EIPO Designated Banks Oversubscription based on value of valid subscriptions 	<ul style="list-style-type: none"> New fund locking mechanism CPs may opt for “compressed” pre-funding
Allotment	Steps 6 and 10 of FAQ B1	<ul style="list-style-type: none"> HK Share Registrar determines basis of allotment 	<ul style="list-style-type: none"> Timing of balloting results broadcast Structured allotment results data report
Settlement	Step a of FAQ B1	<ul style="list-style-type: none"> Shares are credited to CCASS stock accounts 	<ul style="list-style-type: none"> Timing of shares delivery and posting into CCASS



User journey of T+2 IPO timetable

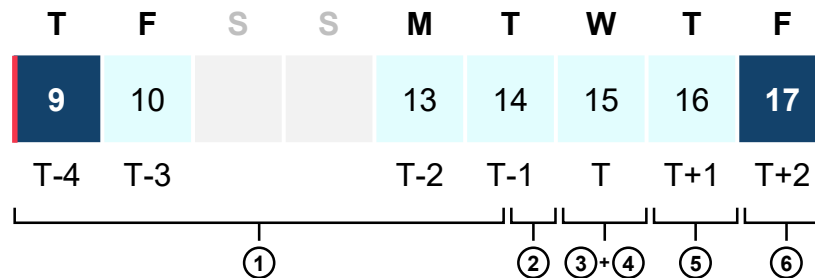


02 User journey of T+2 timetable

- 1 EIPO Subscription
- 2 EIPO Funding
- 3 EIPO Allotment
- 4 EIPO Money Settlement
- 5 EIPO Share Posting
- 6 Start of Trading

Illustrative timetable

December 2021

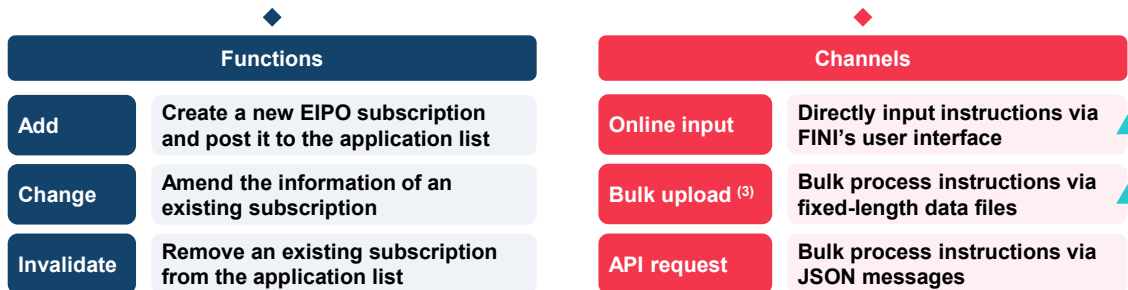


With FINI, all future HK IPOs will operate on a standard IPO timetable of **7 business days***, covering all the steps between **opening of subscriptions to the start of trading** (example shown above).

** If a Hong Kong Public Offer is conducted*

02 EIPO Subscription

- CPs may manage their EIPO application lists through 3 [subscription functions](#) ♦, all of which may be operated via 3 [different channels](#) ♦
- Subscriptions may be created by inputting an applicant’s personal information or Broker-to-Client Assigned Number (BCAN) ⁽¹⁾
- FINI will also provide CPs dashboards containing aggregate statistics, such as total application quantity, total subscription value and preliminary pre-funding requirement
- A CP’s pre-funding requirement will be calculated based on whether it has opted for “compressed” pre-funding at the IPO’s opening of subscriptions ⁽²⁾



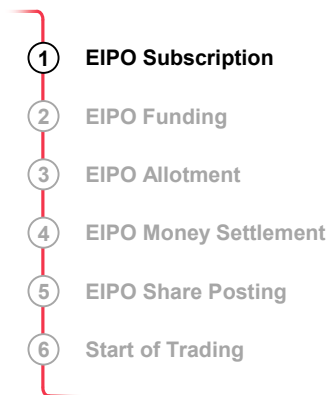
▲ = maker-checker mechanism supported

Illustrative timetable

December 2021

M	T	W	T	F
			9	10
13	14	15	16	17

Steps



(1) Please refer to HKSCC’s [circular](#) dated 26 November 2021.

(2) A CP may amend its choice through an EIPO Management function on FINI at any point, but the opt-in for a particular IPO is locked at the public offer book open. Please refer to Information Pack [FAQ E15](#) for further information.

(3) Please refer to the Appendix for the EIPO bulk upload specifications.

02 EIPO Funding

- After the public offer book close (12:00 T-1), FINI will calculate and broadcast each CP’s final pre-funding requirement to its EIPO Designated Bank
- EIPO Designated Banks will then have a pre-funding window (12:30 to 17:30 T-1) to lock each CP’s pre-funding requirement and provide a confirmation to FINI
- If a CP’s pre-funding requirement is rejected by its EIPO Designated Bank, the CP may adjust its application list by **downsizing or invalidating subscriptions** ◆
- Any subscription that has not received a pre-funding confirmation by an EIPO Designated Bank will be invalidated after the deadline (17:30 T-1)

Downsize / invalidation

ID Type	ID Country / Jurisdiction	ID Number	Full Name (English)	Full Name (Chinese or Non-English)	Application Quantity
HKID	HKG	V458746(4)	Emily Zhao		200
HKID	HKG	F192400(8)	Jerry Bai		1000
HKID	HKG	P292332(0)	Carolyn Gao	高煦涵	1000
HKID	HKG	Y420351(6)	Ashley Meng		400

May decrease the application quantity of a subscription, or invalidate the subscription entirely

Applicant information may not be amended after the public offer book close

Illustrative timetable

December 2021

M	T	W	T	F
			9	10
13	14	15	16	17

Steps

- 1 EIPO Subscription
- 2 EIPO Funding
- 3 EIPO Allotment
- 4 EIPO Money Settlement
- 5 EIPO Share Posting
- 6 Start of Trading



02 EIPO Allotment + EIPO Money Settlement

- After EIPO Funding, the balloting results and allotment value of each CP's application list will be made available (12:00 T)
- HKSCC will then generate payment instructions to each CP's EIPO Designated Bank for money settlement via RTGS CHATS
- Any CP's allotment that is not successfully settled will be invalidated and reallocated to the IPO's institutional offer (partial settlement is not supported)

Updated list of unsuccessful reasons in EIPO Allotment

Code	Description	Notes
01	Not allotted	Valid subscription not allotted any shares
02	Failed pre-funding	Invalid subscription due to failing the EIPO Funding step
03	Duplicate application	Invalid subscription identified as a duplicate in the public offer
04	Incomplete information	Invalid subscription due to insufficient information provided
05	Invalid BCAN	Invalid subscription due an invalid BCAN being provided
06	EIPO default	Invalid subscription due failing the EIPO money settlement step
99	Other	Reserved for future and miscellaneous use

Reference:

[Information Pack](#), [FAQs Steps 6 and 7 of B1 and F4](#)

Illustrative timetable

December 2021

M	T	W	T	F
			9	10
13	14	15	16	17

Steps

- 1 EIPO Subscription
- 2 EIPO Funding
- 3 **EIPO Allotment**
- 4 **EIPO Money Settlement**
- 5 EIPO Share Posting
- 6 Start of Trading



02 EIPO Share Posting

- A business day after EIPO Money Settlement, the share registrar will deliver the Hong Kong public offer's share certificates to HKSCC for share posting
- After successful reconciliation, HKSCC will then credit IPO allotment into each CP's CCASS stock accounts by 17:30 T+1

Illustrative timetable

December 2021

M	T	W	T	F
			9	10
13	14	15	16	17

Steps

- ① EIPO Subscription
- ② EIPO Funding
- ③ EIPO Allotment
- ④ EIPO Money Settlement
- ⑤ **EIPO Share Posting**
- ⑥ Start of Trading



02 Start of Trading

- After EIPO Share Posting, CPs may input the pre-settlement instructions as the IPO is being approved and becomes unconditional
- If there are no exceptions, the IPO shares will start its secondary trading on SEHK

Illustrative timetable

December 2021

M	T	W	T	F
			9	10
13	14	15	16	17

Steps

- ① EIPO Subscription
- ② EIPO Funding
- ③ EIPO Allotment
- ④ EIPO Money Settlement
- ⑤ EIPO Share Posting
- ⑥ **Start of Trading**



On-boarding procedures



03 On-boarding procedures

CPs who are **existing** users of
HKEX Client Connect

- **No action is required** – HKSCC will directly grant the CP's existing delegated administrators for the creation of individual FINI users

CPs who are **not existing** users of
HKEX Client Connect

- **An application form is required** – CPs must provide HKSCC information to set up delegated administrators for the creation of individual FINI users

The HKSCC Rules will be amended such that CPs' use of FINI will be subject to and bound by the FINI Terms and Conditions.

Reference:

[Information Pack, FAQs C1-C2](#)



Next milestones



04 Next milestones

Legend

- Market readiness
- Specifications
- On-boarding

Q4 2021

Updated FINI Information Pack

Covers on-boarding procedures, BCANs and fund-locking model
[Published 2021-11-30]

FINI API Specifications

IPO reference data, EIPO subscription and EIPO Funding API endpoints

FINI SWIFT MT Specifications

ISO 15022 implementation guidelines

Q1 2022

Updated FINI Information Pack

SWIFT technical setup, testing arrangements and other updates

Application form

For CPs who **are not** current HKEX Client Connect users

FINI Terms & Conditions

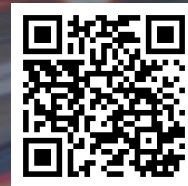
CPs will be bound to the FINI Terms & Conditions via amendments to the HKSCC rules



Thank you.

For further information on HKEX, please go to
hkexgroup.com and hkexnews.hk

For further information on FINI, please go to
hkex.com.hk/fini



Appendix: EIPO bulk upload specifications

Data conventions:

#	Description
String	Fully UTF-8 encoded string characters, left-justified with trailing spaces unless otherwise stated.
Integer	Digits only, right-justified with leading spaces unless otherwise stated.

File format:

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

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 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.
8	File ID	String	20	Yes	Always 'IPO UPL FILE ' +



Appendix: EIPO bulk upload specifications (cont.)

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: <ul style="list-style-type: none"> ▪ 1 (add) ▪ 2 (change) ▪ 3 (invalidate)

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

Add:

#	Field Name	Format	Length	Req.?	Description
3	Record ID	String	17	No	Must be blank for add 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. ⁽¹⁾
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 #10] and SEHK Participant ID [Field #11].
6	ID Type	Integer	2	Yes	The type of identification document held by the subscriber. Must be one of the following values: <ul style="list-style-type: none"> ▪ 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) <p>If Number of Account Holders [Field #4] > 1, then must be 1, 2 or 3.</p>



(1) O = Online input, B = Bulk Upload and A = API request

Appendix: EIPO bulk upload specifications (cont.)

Add (cont.):

#	Field Name	Format	Length	Req.?	Description								
7	ID Country / Jurisdiction	String	3	Yes	<p>The authority issuing the identification document held by the subscriber, represented in ISO-3166 Alpha-3 format, or 'OTH' to represent Other.</p> <p>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".</p>								
8	ID Number	String	40	Yes	<p>If ID Type [Field #6] = 1 (HKID), then must be a concatenation (no spaces) of:</p> <ul style="list-style-type: none"> Prefix: 1-2 uppercase alphabetical characters ID number: 6-digit integer Check digit: 0 to 9, or 'A', enclosed by parentheses <table border="1" data-bbox="716 464 1781 538"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td>"Y123456(7)", "YZ123456(7)", "Y123456(A)"</td> <td>"Y123456", "Y123456?"</td> </tr> </tbody> </table> <p>If Field #2 (ID Type 1) = 4 (LEI registration document), then must be exactly 20 uppercase alphanumeric characters.</p> <p>If Field #2 (ID Type 1) = 8 (Broker-to-Client Assigned Number), must be in 'xxxxxx.#####' format, where:</p> <ul style="list-style-type: none"> 'x' = a text string of exactly 6 uppercase alphanumeric characters '.' = a delimiter to separate "x" and "#" '#' = a positive integer up to 10 characters <table border="1" data-bbox="716 713 1781 787"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td>"ABC123.1123456789", "ABC123.112345678 "</td> <td>"ABC123.0000000000", "ABC123.12345"</td> </tr> </tbody> </table> <p>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.</p>	Successful examples	Unsuccessful examples	"Y123456(7)", "YZ123456(7)", "Y123456(A)"	"Y123456", "Y123456?"	Successful examples	Unsuccessful examples	"ABC123.1123456789", "ABC123.112345678 "	"ABC123.0000000000", "ABC123.12345"
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Successful examples	Unsuccessful examples												
"ABC123.1123456789", "ABC123.112345678 "	"ABC123.0000000000", "ABC123.12345"												
9	Full Name (English)	String	150	No	<p>Must be alphabetical characters only. 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.</p>								
10	Full Name (Chinese or Non-English)	String	150	No	<p>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.</p>								



Appendix: EIPO bulk upload specifications (cont.)

Add (cont.):

#	Field Name	Format	Length	Req.?	Description
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 HKSCC) to identify the entity receiving the brokerage
13	Own Reference	String	40	No	Free text input reserved for CPs.

Change:

#	Field Name	Format	Length	Req.?	Description
3	Record ID	String	17	Yes	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 #10] and SEHK Participant ID [Field #11].
6	ID Type	Integer	2	Yes	<p>The type of identification document held by the subscriber. Must be one of the following values:</p> <ul style="list-style-type: none"> ▪ 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) <p>If Number of Account Holders [Field #4] > 1, then must be 1, 2 or 3.</p>



(1) O = Online input, B = Bulk Upload and A = API request

Appendix: EIPO bulk upload specifications (cont.)

Change (cont.):

#	Field Name	Format	Length	Req.?	Description								
7	ID Country / Jurisdiction	String	3	Yes	<p>The authority issuing the identification document held by the subscriber, represented in ISO-3166 Alpha-3 format, or 'OTH' to represent Other.</p> <p>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".</p>								
8	ID Number	String	40	Yes	<p>If ID Type [Field #6] = 1 (HKID), then must be a concatenation (no spaces) of:</p> <ul style="list-style-type: none"> Prefix: 1-2 uppercase alphabetical characters ID number: 6-digit integer Check digit: 0 to 9, or 'A', enclosed by parentheses <table border="1" data-bbox="716 464 1781 538"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td>"Y123456(7)", "YZ123456(7)", "Y123456(A)"</td> <td>"Y123456", "Y123456?"</td> </tr> </tbody> </table> <p>If ID Type [Field #6] = 4 (LEI registration document), then must be exactly 20 uppercase alphanumeric characters.</p> <p>If ID Type [Field #6] = 8 (Broker-to-Client Assigned Number), must be in 'xxxxxx.#####' format, where:</p> <ul style="list-style-type: none"> 'x' = a text string of exactly 6 uppercase alphanumeric characters '.' = a delimiter to separate "x" and "#" '#' = a positive integer up to 10 characters <table border="1" data-bbox="716 713 1781 787"> <thead> <tr> <th>Successful examples</th> <th>Unsuccessful examples</th> </tr> </thead> <tbody> <tr> <td>"ABC123.1123456789", "ABC123.112345678 "</td> <td>"ABC123.0000000000", "ABC123.12345"</td> </tr> </tbody> </table> <p>If ID Type [Field #6] = 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.</p>	Successful examples	Unsuccessful examples	"Y123456(7)", "YZ123456(7)", "Y123456(A)"	"Y123456", "Y123456?"	Successful examples	Unsuccessful examples	"ABC123.1123456789", "ABC123.112345678 "	"ABC123.0000000000", "ABC123.12345"
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Successful examples	Unsuccessful examples												
"ABC123.1123456789", "ABC123.112345678 "	"ABC123.0000000000", "ABC123.12345"												
9	Full Name (English)	String	150	No	<p>Must be alphabetical characters only. 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.</p>								
10	Full Name (Chinese or Non-English)	String	150	No	<p>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.</p>								



Appendix: EIPO bulk upload specifications (cont.)

Change (cont.):

#	Field Name	Format	Length	Req.?	Description
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 HKSCC) to identify the entity receiving the brokerage
13	Own Reference	String	40	No	Free text input reserved for CPs.

Invalidate:

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



Appendix: EIPO bulk upload specifications (cont.)

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.



Appendix: EIPO bulk upload specifications (cont.)

Header record:

Format	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			20210811	ABCD	IPO UPL FILE

Detailed records:

Format	1	2	3	4	5	6	7	8	9	10	11	12	13
Field Name	Record Type	Action Type	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 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	高照通	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	8274001NTNQJA J60HM02	Best IPO Investments Ltd		10000	00000	
	1	3	5814168481386212B										
	1	3	5512402066579845B										

- A** Add 1 individual EIPO subscription
- B** Add 1 joint EIPO subscription
- C** Add 1 individual EIPO subscription
- D** Change 1 individual EIPO subscription
- E** Change 1 joint EIPO subscription
- F** Change 1 individual EIPO subscription
- G** Invalidate 1 EIPO subscription
- H** Invalidate 1 EIPO subscription

Control record:

Format	1	2	3
Field Name	Record Type	Total Number of Detailed Records	Total Application Quantity
Length	1	32	32
Value	0	10	16800

Sample data file:

OC000059595	20210804ABCDIPO UPL FILE
11	1 1HKG V458746(4) Emily Zhao
11	2M2vsq7JDNC 1HKG F192400(8) Jerry Bai
11	2M2vsq7JDNC 1HKG P292332(0) Carolyn Gao
11	1 1HKG Y420351(6) Ashley Meng
12	3771409870731418B 1 1HKG M937539(8) Charles Zhou
12	5330321211778203B 2Q1bFLso28x 1HKG S957701(9) Alan Qiao
12	5330321211778203B 2Q1bFLso28x 1HKG J415675(4) Aaron Han
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13	5814168481386212B
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