Investor Identification Regime at Trading Level for the Exchange-Traded Derivatives Market in Hong Kong (HKIDR-DM)

File Interface Specification

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1 Overview

This document serves as a reference guide for SFC-licensed corporations and registered institutions subject to the investor identification regime at trading level for the Derivatives market in Hong Kong (**HKIDR-DM**) (**Relevant Regulated Intermediaries, or RRI**)[1] on the preparation, submission, and processing of Broker-to-Client Assigned Number (**BCAN**) and Client Identification Data (**CID**) that are needed to support trading under the HKIDR-DM, as well as submission of various reporting forms as appropriate. "Relevant Regulated Intermediary (**RRI**)" may or may not be an Exchange Participant[2] (**EP**). An RRI which is not an EP shall be referred to as a "non-EP RRI".

Files and reporting forms under HKIDR-DM are submitted via the "Electronic Communication Platform" (**ECP**) facility provided by HKEX. Two data transfer channels are available for the submission of files and reporting forms:

1. ECP Web Interface, a web-based access with Secure Sockets Layer (**SSL**) encryption enforced over Internet
2. ECP SFTP Interface, a secure file transfer protocol (**SFTP**) over Securities and Derivatives Network (**SDNet**) or HKEX Service Network (**HSN**)

It should be noted that, under HKIDR-DM, RRIs are required to submit BCAN-CID Mapping Files and various reporting forms based on the relevant derivatives market(s) in which the client (**Relevant Client**[3]) is trading, namely Single Stock Options traded on The Stock Exchange of Hong Kong Limited (**SEHK SSO**) or futures and options traded on the Hong Kong Futures Exchange (**HKFE F&O**). Accordingly, where the same Relevant Client trades both SEHK SSO and HKFE F&O through the same RRI, this RRI shall prepare and submit separate sets of submissions in respect of each market for this Relevant Client. For the avoidance of doubt, submissions relating to SEHK SSO under HKIDR-DM are distinct from those for securities market under HKIDR-S and should be handled separately in accordance with the respective regime requirements.

[1] Pursuant to the proposed paragraph 5.6A of the SFC's Code of Conduct for Persons Licensed by or Registered with the SFC, as set out in Appendix C of the SFC's Consultation Conclusions.

[2] Exchange Participant of Hong Kong Futures Exchange Limited (**HKFE**) and Options Trading Exchange Participant of the Stock Exchange of Hong Kong Limited (**SEHK**) collectively refer to Exchange Participant in this document.

[3] Relevant Client" is referred to as "client" and is defined in the proposed paragraph 5.6A (m) of the SFC Code of Conduct as set out in Appendix C to the SFC's Consultation Conclusions.

2 BCAN-CID Mapping File Submission

2.1 Summary of Interface Files and Operation Flow

EPs and non-EP RRIs are allowed to submit BCAN-CID Mapping Files from Monday to Friday (with the exception of New Year's Day holiday), irrespective of whether the day is a Trading Day which is a business day[4] (**Business Day**) or Trading Day which is a public holiday[5] (**Holiday Trading Day**). List of BCAN interface files that are involved in the preparation and submission process of BCANs for the HKIDR-DM are as follows:

			SEHK SSO	HKFE F&O
No	**Time**	**Party**	**Activity**	**Activity**
1	7:00am - 4:30pm	EP/non-EP RRI	a) Submission of BCAN-CID Mapping File (SBCNMAPP)	a) Submission of BCAN-CID Mapping File (FBCNMAPP)
		The Exchanges[6]	b) Distribution of BCAN-CID Response File (SBCNMPRP)	b) Distribution of BCAN-CID Response File (FBCNMPRP)
2	6:00pm - 11:59pm	The Exchanges	a) Distribution of BCAN Process Result File (SBCNRSLT)	a) Distribution of BCAN Process Result File (FBCNRSLT)
			b) Distribution of BCAN Full Image File as recorded in the Exchanges (SBCNFIMG)	b) Distribution of BCAN Full Image File as recorded in the Exchanges of derivatives market (FBCNFIMG)
3	12:00am next calendar day	The Exchanges	a) System cleanup – all files will be removed from ECP	a) System cleanup – all files will be removed from ECP

2.2 File Collection and Distribution Channel

EPs and non-EP RRIs are allowed to submit BCAN-CID Mapping File via the following channels:

1. EPs/non-EP RRIs can submit the BCAN-CID Mapping File to the Exchanges via ECP (SFTP) Interface or ECP Web Interface.
2. BCAN-CID Mapping File can also be submitted via ECP (**SFTP**) Interface or ECP Web Interface by a third party (i.e. On Behalf of (**OBO**) submission) who is authorized by the relevant EPs/non-EP RRIs.

If multiple submissions are made throughout the day, the latest submitted file will prevail.

[4] Refers to Trading Days of Monday to Friday except Hong Kong public holidays.
[5] Refers to Trading Days of Hong Kong public holidays (except of New Year's Day holiday). For the avoidance of doubt, Holiday Trading Days are only applicable to selected HKFE F&O.
[6] SEHK and HKFE are collectively referred to as the **Exchanges** in this document.

2.3 Data Format Definition

Data format commonly used for HKIDR-DM BCAN-CID Mapping File submission (both SEHK SSO and HKFE F&O) are as follows:

Format/Type	**Synopsis**
X(n)	Alphanumeric data of *n* bytes. Left-justified with trailing spaces unless otherwise stated.
9(n)	Numeric field with maximum of *n* digits. No leading zeroes. Right-justified and fill up with spaces if less than *n* digits unless otherwise stated.
YYYYMMDD	Date field, where YYYY stands for the year, MM stands for the month, and DD stands for the day, e.g. 20210401
HHMMSS	Time field, where HH stands for hour, MM stands for minute, and SS stands for second, e.g. 152304
FILESEQ	Numeric field. Applicable to ECP (SFTP) Interface only. File running sequence when there exists duplication of file name on Acknowledgment File or Rejection File. Sequence value starts from 1 and increment by 1 and reset daily at start of day.
CENUM	6-character Central Entity Number issued by SFC to EPs/non-EP RRIs in the format of X(6)

2.4 BCAN-CID Mapping File

2.4.1 Description

BCAN-CID Mapping File under HKIDR-DM is used for submitting BCAN-to-CID mapping data to the Exchanges for Relevant Clients who wish to conduct trading in the respective Hong Kong derivatives market, namely SEHK SSO and HKFE F&O. Separate submission is required for Relevant Clients trading SEHK SSO and HKFE F&O. Accordingly, RRIs with Relevant Clients trading in both markets are required to prepare and submit two separate files.

Prior to the first-time submission of BCAN-CID Mapping File, EPs/non-EP RRIs should make a one-off representation to the Exchanges via ECP to confirm that client consents for the transfer of individual client's personal data to the Exchanges and the SFC have been obtained. Otherwise, the submission of the file will be rejected by ECP.

After the first-time submission, EPs/non-EP RRIs are only required to submit this file when there are changes on the BCAN-CID mapping data. However, a full list of all mappings is always required to be submitted even if only part of those mappings have been changed.

The BCAN-CID Mapping File uploaded will be processed by the Exchanges. For ECP (SFTP) Interface submission, uploaded files with correct file name format and within submission hour will be removed from the submission folder of the SFTP user account, and an Acknowledgment File containing the submission file checksum will be generated in the submission folder. Please refer to Appendix A.1 for details. If the mapping file is submitted via ECP Web Interface, the checksum detail will be displayed at the submission page or can be enquired from the Activity Enquiry page.

If the mapping file is rejected by the system, a Rejection File will be generated in the submission folder if the file is submitted through SFTP. Please refer to Appendix A.2 for details. If the mapping file is submitted via ECP Web Interface, the rejection details will be displayed at the submission page or can be enquired from the Activity Enquiry page.

Upon completion of format validation of the mapping file by the Exchanges, a Response File will be returned to the EP/non-EP RRI for reference. A brief validation result will be given in the Response File for mapping records that have failed the validation. EPs/non-EP RRIs may correct the failed mapping record and submit the full mapping file again. No Response File will be given if a mapping file is rejected.

If a BCAN record failed validation, that record will be ignored. If that record has already been registered previously and exists in the BCAN Full Image File previously submitted to the Exchanges, it will be left unchanged. If BCAN records that exist in BCAN Full Image File previously submitted but could not be found in the newly submitted mapping file, those BCAN records will be considered as Deletion and will be marked as "inactive".

If no BCAN-CID Mapping File has been submitted to the Exchanges during the submission hour, mapping records that were previously recorded by the Exchanges will remain effective. No Response File will be given in this case.

All files will be removed from the submission folder in ECP after system cleanup.

If an EP/non-EP RRI ceases business, they should submit an "empty" mapping file with no BCAN and CID data (i.e. mapping file with header and control records only). The system will then mark submitted BCAN-CID mapping records submitted previously as "Cancelled".

2.4.2 File Layout

Summary of BCAN-CID Mapping File submissions for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File ID	SBCNMAPP	FBCNMAPP
File Name	SBCNMAPP_<CENUM>_<YYYYMMDD>.txt, and is zipped into: SBCNMAPP_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission. <CENUM> = CE number of the EP/non-EP RRI who submits this file.	FBCNMAPP_<CENUM>_<YYYYMMDD>.txt, and is zipped into: FBCNMAPP_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission. <CENUM> = CE number of the EP/non-EP RRI who submits this file.
File Type	Text file delimited by DOS newline characters (CR+LF). Record data fields are in fixed length. UTF-8 without BOM encoded.	
Submission Hours	7:00am to 4:30pm on Monday to Friday (with the exception of New Year's Day holiday)[7]	
Submission Path **(ECP (SFTP) Interface only)**	/submission/SBCNMAPP Once the file is processed by the Exchanges, the file will be removed from the submission folder, an Acknowledgment File or a Rejection File will be returned (Refer to Appendix A.1 and A.2)	/submission/FBCNMAPP Once the file is processed by the Exchanges, the file will be removed from the submission folder, an Acknowledgment File or a Rejection File will be returned (Refer to Appendix A.1 and A.2)
Submission Page **(ECP Web Interface only)**	To submit files: Login ECP Web Interface and click "Submission" hyperlink in the navigation bar. Click "[HKIDR-DM: SEHK SSO] BCAN-CID Mapping File" hyperlink for submission. On submission received: A SHA-256 checksum of the file submitted will be displayed on screen upon submission. On submission rejected: Rejection Code and Rejection Reason will be displayed on screen upon submission (Refer to Appendix A.3). Submission result could also be enquired from the Activity Enquiry page.	To submit files: Login ECP Web Interface and click "Submission" hyperlink in the navigation bar. Click "[HKIDR-DM: HKFE F&O] BCAN-CID Mapping File" hyperlink for submission. On submission received: A SHA-256 checksum of the file submitted will be displayed on screen upon submission. On submission rejected: Rejection Code and Rejection Reason will be displayed on screen upon submission (Refer to Appendix A.3). Submission result could also be enquired from the Activity Enquiry page.
File Encryption (Optional)	Optionally, the zip file can also be encrypted with a password. Please note the following on encryption: 1. Encryption algorithm: AES256. There are a number of utilities that support AES256	

[7] Irrespective of whether the day is a Trading Day which is a Business Day or Holiday Trading Day.

	encryption, e.g. Winzip and 7-Zip. 2. EP/Non-EP RRI are required to register the password with the Exchanges for decryption via ECP Web Interface. Please also note the following rules on choosing the encryption password: • Minimum password length: 10 characters • Maximum password length: 128 characters • Password complexity: The password must contain a minimum of 1 upper letter, 1 lower letter, 1 number, and 1 symbol. All printable characters, except space, are accepted (ASCII code 0x21 to 0x7E). That include upper & lower case letters, numbers (0-9), and symbols (@#$%^&* etc.). • Password history: 5 generations EP/Non-EP RRI are also advised to change the encryption password on a regular basis (e.g. every 3 months). Please refer to the HKIDR-DM File Transfer Connectivity Guide which will be released on the HKIDR-DM dedicated web corner of the HKEX website for details.

Header Record of BCAN-CID Mapping File for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= "H" (header record)
2	File ID	X(20)	= "SBCNMAPP" for SEHK SSO submission = "FBCNMAPP" for HKFE F&O submission
3	File Format Version	9(2)	= 1
4	CE Number	X(6)	CE number[8] of the EP/non-EP RRI issued by SFC
5	Submission Date	YYYYMMDD	Same as the date in file name
6	Submission Sequence Number	9(2)	Sequence number of file submissions starting from 1 for this file on the submission date

Data Record of BCAN-CID Mapping File for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= "D" (data record)
2	Record Sequence Number	9(11)	A running sequence number starting from 1 used for uniquely identifying individual mapping data within the file. 0 is reserved.
3	Client Type	9(2)	Domain values: - 1 = Individual - 2 = Joint Account - 3 = Funds - 4 = Legal Entity – Fund managers - 5 = Proprietary or Principal Trading - 6 = Legal entity - Others

[8] This CE number must be the same as the CE number specified in the file name (in uppercase letters), and all BCAN in the data record are assigned by this EP/non-EP RRI.

			See also Note 1.
4	CE Number	X(6)	CE number of the EP/non-EP RRI who assigns the BCAN
5	BCAN	9(10)	Reserved range: 0 - 99. See Note 1.
6	Number of Account Holders	9(2)	Always equals to 1 for client types (field no. 3) of 1, 3, 4, 5 and 6. If Client Type is 2 (Joint Account), the number of accounts holders has to be between 2 and 99 inclusively, and the total number of account holder records with this BCAN must equal to this number.
7	English First Name and Middle Name	X(40)	For client types (field no. 3) of 1 and 2. Fill in spaces if this field is not available. See Note 2.
8	English Last Name	X(40)	For client types (field no. 3) of 1 and 2. Fill in spaces if this field is not available. See Note 2.
9	English Legal Entity Name	X(150)	For client types (field no. 3) of 3, 4, 5 and 6. Fill in spaces if this field is not available. See Note 3.
10	Chinese Name or Non-English Name	X(80)	For client types (field no. 3) of 1 and 2. Fixed length in bytes (i.e. 80 bytes). UTF-8 encoded. Fill in spaces if this field is not available. See Note 2 and Note 4.
11	Chinese Legal Entity Name or Non-English Legal Entity Name	X(120)	For client types (field no. 3) of 3, 4, 5 and 6. Fixed length in bytes (i.e. 120 bytes). UTF-8 encoded. Fill in spaces if this field is not available. See Note 3 and Note 4.
12	Country of Issuance	X(3)	Follows ISO standard 3166 Alpha-3 code: https://www.iso.org/obp/ui/#search/code/ If ID Type (field no. 13) is LEI, then input place of incorporation if available, otherwise input “OTH”.
13	ID Type	9(2)	Identity document type, where: - 1 = HKID - 2 = National Identification Document - 3 = Passport - 4 = LEI - 5 = Certificate of Incorporation - 6 = Business Registration Certificate - 7 = Other official incorporation documents[9]
14	ID Number	X(40)	Identity document number. See Note 5.

[9] If Certificate of Incorporation is unavailable in the jurisdiction where the entity is incorporated or established, the identification number as appeared in the official incorporation document of the entity issued by the relevant official body in the place of incorporation or establishment of the entity should be provided.

Control Record of BCAN-CID Mapping File for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= "F" (control record)
2	Total number of records	9(11)	Total number of records (i.e. number of type "D" records)

Note:

1. One BCAN-CID mapping record is required for each of the joint account members and the BCAN should not fall within the range of reserved range of BCANs (0 to 99). Reserved BCANs are those that are used for special purposes e.g. indication of aggregated orders (for both normal trades and Block Trades).
2. For client types 1 and 2, "English First and Middle Name" (field no. 7), "English Last Name" (field no. 8), and "Chinese Name or Non-English Name" (field no. 10) must be provided if available. Field no. 10 may be used for names that are non-alphabetic. These fields cannot be all blank.
3. For client types 3, 4, 5 and 6, "English Legal Entity Name" (field no. 9) and "Chinese Legal Entity Name or Non-English Legal Entity Name" (field no. 11) must be provided if available. Field no. 11 may be used for names that are non-alphabetic. These fields cannot be both blank at the same time.
4. The Chinese and English names in the BCAN-CID mapping data submitted must be exactly the same as in the official identity document. For example, if the name in the official identity document is in Simplified Chinese, then the name in the BCAN-CID mapping data must also be in Simplified Chinese. In case the name in the national identification document is not in Chinese or English, the guidance issued by the SFC as contained in the relevant FAQ should be referred to.
5. Exact ID number should be provided, including characters, numbers, and symbols like brackets. For example, if the ID number shown in the official document is "A123456(7)", then "A123456(7)"(including brackets) should be provided in the BCAN-CID mapping data.
6. This document should be read in conjunction with the Information Paper, which is available on HKIDR-DM dedicated web corner on the HKEX website.

2.5 BCAN-CID Response File

2.5.1 Description

BCAN-CID Response File is used for returning result of format validation of the submitted BCAN-CID Mapping File. It contains list of records that failed the validation.

The response code and text, together with the original record sequence number, will be given for each of the failed mapping records. Mapping records that passed the validation will not be put into the Response File. Thus, if the submitted BCAN-CID Mapping File has passed the validation successfully and completely, the Response File will carry only 2 records – the header and control record.

Normally the Response File is given back to EPs/non-EP RRIs within 10 minutes after submitting the Mapping File. However, the actual processing time is also dependent on the size of the BCAN-CID Mapping File submitted (i.e. number of records) and the EP/non-EP RRI's position in the process queue.

In case file-level errors are found (e.g. file with missing header or control records), the mapping records will not be further validated and the entire Mapping File will be discarded. A response file will also be returned in this case. Please refer to Appendix B.1 for list of errors.

The system will stop validating the mapping file once it is found to have 10,000 records with errors, and the BCAN-CID Response File will be given the response code "S0102".

The Response File is not given when BCAN-CID Mapping File is rejected.

A list of response codes is provided in Appendix B.1.

2.5.2 File Layout

Summary of BCAN-CID Response File for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File ID	SBCNMPRP	FBCNMPRP
File Name	SBCNMPRP_<CENUM>_<YYYYMMDD>.txt, and is zipped into: SBCNMPRP_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of mapping file) <CENUM> = CE number of the EP/non-EP RRI	FBCNMPRP_<CENUM>_<YYYYMMDD>.txt, and is zipped into: FBCNMPRP_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of mapping file) <CENUM> = CE number of the EP/non-EP RRI
File Type	Text file delimited by DOS newline characters (CR+LF). Record data fields are in fixed length. UTF-8 without BOM encoded.	
Distribution Time	Within 10 minutes after submitting BCAN-CID Mapping File	
Distribution Path	/download/SBCNMAPP	/download/FBCNMAPP

(ECP (SFTP) Interface only)		
Distribution Page **(ECP Web Interface only)**	Download Corner of ECP Web Interface	

Header Record of BCAN-CID Response File for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= "H" (header record)
2	File ID	X(20)	= "SBCNMPRP" for SEHK SSO = "FBCNMPRP" for HKFE F&O
3	File Format Version	9(2)	= 1
4	CE Number	X(6)	CE number of the EP/non-EP RRI issued by SFC
5	Submission Date	YYYYMMDD	Date of the submitted BCAN-CID Mapping File
6	Submission Sequence Number	9(2)	Submission sequence number of the original BCAN-CID Mapping File

Data Record of BCAN-CID Response File for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= "D" (data record)
2	Original Record Sequence Number	9(11)	Sequence number of the record as in the submitted BCAN-CID Mapping File. 0 is reserved for general response or file-level error.
3	Response Code	X(5)	Refer to Appendix B.1
4	Response Text	X(200)	Refer to Appendix B.1
5	Response Field No.[10]	9(2)	Field number of the data field which failed the validation, 0 otherwise

Control Record of BCAN-CID Response File for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= "F" (control record)
2	Total number of Mapping records submitted	9(11)	Total number of Mapping records submitted (i.e. number of type "D" records in the original BCAN-CID Mapping File), otherwise 0 when file level error
3	Total number of records	9(11)	Number of type "D" records in this Response File

[10] For a record with multiple errors, only the first error detected will be included and EPs/non-EP RRIs should review the whole record again.

2.6 BCAN-CID Process Result File

2.6.1 Description

BCAN-CID Process Result File contains process result after processing of the BCAN-CID Mapping Files submitted by EPs/non-EP RRIs. It provides the final processing status of the BCAN-CID mappings for that day.

Please note that the Process Result File contains only list of BCAN records that have been either added, deleted, or modified. BCAN records that remain unchanged (compared with master record as saved in HKEX's systems) and rejected as indicated in the Response File are not reported in the Process Result File.

Joint accounts are considered as individual entity. All BCAN records belonging to a joint account will be validated even if only part of the records has been changed, and all records of that joint account will be returned in the Process Result File.

See Appendix B.2 for list of result codes.

2.6.2 File Layout

Summary of BCAN-CID Process Result File for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File ID	SBCNRSLT	FBCNRSLT
File Name	SBCNRSLT_<CENUM>_<YYYYMMDD>.txt , and is zipped into: SBCNRSLT_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of distribution. <CENUM> = CE number of the EP/non-EP RRI	FBCNRSLT_<CENUM>_<YYYYMMDD>.txt, and is zipped into: FBCNRSLT_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of distribution. <CENUM> = CE number of the EP/non-EP RRI
File Type	Text file delimited by DOS newline characters (CR+LF). Record data fields are in fixed length. ASCII encoded.	
Distribution Time	After 6:00pm on Monday to Friday (with the exception of New Year's Day holiday)[11]	
Distribution Path (ECP (SFTP) Interface only)	/download/SBCNMAPP	/download/FBCNMAPP
Distribution Page (ECP Web Interface only)	Download Corner of ECP Web Interface	

Header Record of BCAN-CID Process Result File for SEHK SSO and HKFE F&O

Field No.	**Data**	**Format**	**Synopsis**
1	Record Type	X(1)	= "H" (header record)

[11] Irrespective of whether the day is a Trading Day which is a Business Day or Holiday Trading Day.

2	File ID	X(20)	= “SBCNRSLT” for SEHK SSO = “FBCNRSLT” for HKFE F&O
3	File Format Version	9(2)	= 1
4	CE Number	X(6)	CE number of the EP/non-EP RRI issued by SFC
5	Submission Date	YYYYMMDD	Date of the submitted BCAN-CID Mapping File

Data Record of BCAN-CID Process Result File for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= “D” (data record)
2	CE Number	X(6)	CE number of the EP/non-EP RRI issued by SFC
3	BCAN	9(10)	
4	Action Code	X(1)	Domain values: - "A" = Addition - "U" = Update - "S" = Deletion
5	Result Code	X(4)	Refer to Appendix B.2
6	Record Sequence Number and Result Text	X(120)	Fixed length in bytes. Refer to Appendix B.2

Control Record of BCAN-CID Process Result File for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= “F” (control record)
2	Total number of data records	9(11)	Number of data records (i.e. number of type “D” records in this result file)

2.7 BCAN Full Image File

2.7.1 Description

BCAN Full Image File contains the final list of BCANs of each EP and non-EP RRI, which are accepted by the Exchanges.

Individual Full Image File is distributed to the respective EP and non-EP RRI on Monday to Friday (with the exception of New Year's Day holiday), regardless whether they have submitted BCAN-CID Mapping File on that day or not.

EPs and non-EP RRIs are reminded to check the BCAN records in this file to ensure that they are accurate.

2.7.2 File Layout

Summary of BCAN Full Image File for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File ID	SBCNFIMG	FBCNFIMG
File Name	SBCNFIMG_<CENUM>_<YYYYMMDD>.txt, and is zipped into: SBCNFIMG_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of distribution. <CENUM> = CE number of the EP/non-EP RRI	FBCNFIMG_<CENUM>_<YYYYMMDD>.txt, and is zipped into: FBCNFIMG_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of distribution. <CENUM> = CE number of the EP/non-EP RRI
File Type	Text file delimited by DOS newline characters (CR+LF). Record data fields are in fixed length. ASCII encoded.	
Distribution Time	After 6:00pm on Monday to Friday (with the exception of New Year's Day holiday)[12]	
Distribution Path (ECP (SFTP) Interface only)	/download/SBCNMAPP	/download/FBCNMAPP
Distribution Page (ECP Web Interface only)	Download Corner of ECP Web Interface	

Header Record of BCAN Full Image Files for SEHK SSO and HKFE F&O

Field No.	**Data**	**Format**	**Synopsis**
1	Record Type	X(1)	= "H" (header record)
2	File ID	X(20)	= "SBCNFIMG" for SEHK SSO = "FBCNFIMG" for HKFE F&O
3	File Format Version	9(2)	= 1
4	CE Number	X(6)	CE number of the EP/non-EP RRI issued by SFC.

[12] Irrespective of whether the day is a Trading Day which is a Business Day or Holiday Trading Day.

5	Distribution Date	YYYYMMDD	

Data Record of BCAN Full Image Files for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= "D" (data record)
2	Record Status	X(1)	Domain values: - "N" = Normal - "S" = Cancelled
3	CE Number	X(6)	CE number of the EP/non-EP RRI issued by SFC
4	BCAN	9(10)	
5	Client Type	9(2)	Domain values: refer to BCAN-CID Mapping File.
6	Number of Account Holders	9(2)	Domain values: refer to BCAN-CID Mapping File.

Control Record of BCAN Full Image Files for SEHK SSO and HKFE F&O

Field No.	Data	Format	Synopsis
1	Record Type	X(1)	= "F" (control record)
2	Total number of data records	9(11)	Number of records (i.e. number of type "D" records in this file.

3 Reporting Forms Submission

3.1 Summary of Reporting Forms and Operation Flow

EPs and non-EP RRIs are allowed to submit the reporting forms on Monday to Friday (with the exception of New Year's Day holiday), irrespective of whether the day is a Business Day or a Holiday Trading Day. List of reporting forms that are involved in the submission process of the HKIDR-DM are as follows. It should be noted that similar to BCAN-CID Mapping Files, EPs and non-EP RRIs are required to prepare separate submissions of Reporting Forms for their Relevant Clients trading SEHK SSO and HKFE F&O respectively.

Summary of Reporting Forms for SEHK SSO and HKFE F&O

<table>
<tr><th>No</th><th>Time</th><th>Party</th><th>Activity for SEHK SSO Submissions</th><th>Activity for HKFE F&O Submissions</th></tr>
<tr><td rowspan="6">1</td><td rowspan="6">7:00am - 6:00pm</td><td rowspan="2">EP/non-EP RRI</td><td>a) Submission of Aggregated Transaction Report (SBCNATBN)</td><td>a) Submission of Aggregated Transaction Report (FBCNATBN)</td></tr>
<tr><td>b) Submission of BCAN Change Report (SBCNBCBN)</td><td>b) Submission of BCAN Change Report (FBCNBCBN)</td></tr>
<tr><td>EPs</td><td>a) Submission of BCAN Error Report (SBCNERBN)</td><td>a) Submission of BCAN Error Report (FBCNERBN)</td></tr>
<tr><td rowspan="3">The Exchanges</td><td>a) Distribution of Aggregated Transaction Report Response File (SBCNATRP)</td><td>a) Distribution of Aggregated Transaction Report Response File (FBCNATRP)</td></tr>
<tr><td>b) Distribution of BCAN Change Report Response File (SBCNBCRP)</td><td>b) Distribution of BCAN Change Report Response File (FBCNBCRP)</td></tr>
<tr><td>c) Distribution of BCAN Error Report Response File (SBCNERRP)</td><td>c) Distribution of BCAN Error Report Response File (FBCNERRP)</td></tr>
<tr><td rowspan="3">2</td><td rowspan="3">By 08:00am on next weekday</td><td rowspan="3">The Exchanges</td><td>a) Distribution of Aggregated Transaction Report Result File (SBCNATRSLT)</td><td>a) Distribution of Aggregated Transaction Report Result File (FBCNATRSLT)</td></tr>
<tr><td>b) Distribution of BCAN Change Report Result File (SBCNBCRSLT)</td><td>b) Distribution of BCAN Change Report Result File (FBCNBCRSLT)</td></tr>
<tr><td>c) Distribution of BCAN Error Report Result File (SBCNERRSLT)</td><td>c) Distribution of BCAN Error Report Result File (FBCNERRSLT)</td></tr>
<tr><td>3</td><td>12:00am next calendar day</td><td>The Exchanges</td><td colspan="2">a) System cleanup – all files will be removed from submission folder.
b) System cleanup – Response and result files older than 7 calendar days will be removed from the distribution folder.</td></tr>
</table>

3.2 Format of Reporting Forms

All reporting forms are in comma-separated values (csv) format.

Templates of the reporting forms will be provided on the HKIDR-DM dedicated web corner of the HKEX website in due course. The templates will be in Excel format for ease of edit. Please be reminded to convert into CSV format before submission.

3.3 File Collection and Distribution Channel

EPs and non-EP RRIs are allowed to submit the reporting forms via the following channels:

1. EPs can submit all reporting forms to the Exchanges via ECP (SFTP) Interface or ECP Web Interface.

2. EPs can only submit Aggregated Transaction Report and BCAN Change Report to the Exchanges if they choose to authenticate through SFC WINGS platform.
3. Non-EP RRIs can submit Aggregated Transaction Report and BCAN Change Report to the Exchanges via ECP (SFTP) Interface or ECP Web Interface authenticated through the SFC WINGS platform.
4. Aggregated Transaction Report and BCAN Change Report can also be submitted via ECP (SFTP) Interface or ECP Web Interface by a third party (i.e. On Behalf of (OBO) submission) who is authorized by the relevant EPs/non-EP RRIs.

If multiple submissions are made throughout the day, the latest submitted copy will prevail.

3.4 Data Format Definition

Data format commonly used for reporting forms submission are as follows, which applies to both SEHK SSO and HKFE F&O submissions:

Format/Type	Synopsis
YYYYMMDD	Date field, where YYYY stands for the year, MM stands for the month, and DD stands for the day, e.g. 20210401
HHMMSS	Time field, where HH stands for hour, MM stands for minute, and SS stands for second, e.g. 152304
CENUM	6-character Central Entity Number issued by the SFC to the EP/non-EP RRI in the format of X(6)

3.5 Validation and Response

Upon submission, all reporting forms will go through 2 levels of validations:

- 1st level: The validation checks against the filename format and performing of virus scan. An acknowledgment or rejection file will be returned for a file being accepted or rejected respectively, please refer to Appendix I for details.
- 2nd level: Once the file is accepted by the 1st level validation, further validation will be conducted to check against the basic file format. A response file will be returned as per described in Appendix III C1.

After the submission cut-off time, those records that passed the 2nd level of validation in the latest submitted file will be processed. A result file will be returned as per described in Appendix III C2.

3.6 Aggregated Transaction Report

3.6.1 Description

This file is used for EPs/non-EP RRIs to report the underlying allocation of an aggregated trade.

The EPs/non-EP RRIs (who originated the aggregated order) should submit or arrange to submit the Aggregated Transaction Report via the ECP for aggregated orders that have been executed (fully or partially) within the prescribed timeline.

For the avoidance of doubt, for aggregated orders that have not been executed, no further reporting is required. For an aggregated order that has been partially executed, the EP/ non EP RRIs only need to report on the portion of the order that has been executed, on a per trade basis .

For example: an aggregated order was sliced into 2 trades and fully executed in the trading system, and which was subsequently allocated to 4 underlying BCANs. For each trade, where the respective trade ID is required to be provided in the reporting form, underlying BCANs should be reported in separated rows with the respective allocation details as described in 3.6.2.

3.6.2 File Layout

Summary of Aggregated Transaction Report for SEHK SSO and HKFE F&O

<table>
<tr><th></th><th>SEHK SSO</th><th>HKFE F&O</th></tr>
<tr><td>File Name</td><td>SBCNATBN_<CENUM>_<YYYYMMDD>.csv, and is zipped into:
SBCNATBN_<CENUM>_<YYYYMMDD>.zip
where:
<YYYYMMDD> = Date of submission.
<CENUM> = CE number of the EP/non-EP RRI.

Only current date submission is accepted, such as the “Date of submission” is same as current day.</td><td>FBCNATBN_<CENUM>_<YYYYMMDD>.csv, and is zipped into:
FBCNATBN_<CENUM>_<YYYYMMDD>.zip
where:
<YYYYMMDD> = Date of submission.
<CENUM> = CE number of the EP/non-EP RRI.

Only current date submission is accepted, such as the “Date of submission” is same as current day.</td></tr>
<tr><td>File Type</td><td colspan="2">Text file in comma-separated values (csv) format and delimited by DOS newline characters (CR+LF).
ASCII encoded.</td></tr>
<tr><td>Submission Hours</td><td colspan="2">7:00am to 6:00pm on Monday to Friday (with the exception of New Year's Day holiday)</td></tr>
<tr><td>Submission Path
(ECP (SFTP) Interface only)</td><td>/submission/SBCNRFELR

Once the file is processed by the Exchanges , the file will be removed from the submission folder, an Acknowledgment File or a Rejection File will be returned (Refer to Appendix A.1 and A.2).</td><td>/submission/FBCNRFELR

Once the file is processed by the Exchanges , the file will be removed from the submission folder, an Acknowledgment File or a Rejection File will be returned (Refer to Appendix A.1 and A.2).</td></tr>
<tr><td>Submission Page
(ECP Web Interface only)</td><td>To submit files:
Login ECP Web Interface and click “Submission” hyperlink in the navigation bar. Click “[HKIDR-DM: SEHK SSO] Aggregated Transaction and BCAN Change Reports” hyperlink for submission.</td><td>To submit files:
Login ECP Web Interface and click “Submission” hyperlink in the navigation bar. Click “[HKIDR-DM: HKFE F&O] Aggregated Transaction and BCAN Change Reports” hyperlink for submission.</td></tr>
</table>

	On submission received: A SHA-256 checksum of the file submitted will be displayed on screen upon submission. On submission rejected: Rejection Code and Rejection Reason will be displayed on screen upon submission (Refer to Appendix A.3). Submission result could also be enquired from the Activity Enquiry page.	On submission received: A SHA-256 checksum of the file submitted will be displayed on screen upon submission. On submission rejected: Rejection Code and Rejection Reason will be displayed on screen upon submission (Refer to Appendix A.3). Submission result could also be enquired from the Activity Enquiry page.

File Format of Aggregated Transaction Report for SEHK SSO and HKFE F&O

Field No.	Field Name	Mandatory	Synopsis
1	Item No.	Y	A running sequence number starting from 1 used for uniquely identifying individual record within the file. 0 is reserved.
2	Reporting Date	Y	Date of submission. Must be in YYYYMMDD format. Must be the same as the submission date.
3	CE No. of Reporting Regulated Intermediary	Y	CE Number of the EP/non-EP RRI who aggregated the order. CE No. must be in 6 characters and first 3 characters must be uppercase letters, and last 3 characters must be numeric.
4	Participant Code for Executing Exchange Participant	Y	Participant Code of executing exchange participant of the trade. Must be three alphabetic and uppercase letters. E.g. DEF
5	Trade Date[13]	Y	Date of transaction. Must be in YYYYMMDD format.
6	Security ID	Y	Must not exceed the length of 32
7	Execution Price	Y	Must be numeric without comma
8	Execution Quantity	Y	Quantity of the underlying CE-BCAN as part of the aggregated transaction. Must be numeric without comma. Must not exceed the length of 10.
9	Side	Y	Must be either "B" or "S" where B = Buy, S = Sell
10	Underlying individual CE No. and BCAN	Y	Underlying individual CE No. and BCAN (CE No. + "." + BCAN). CE No. must be in 6 characters and first 3 characters must be uppercase letters and last 3 characters must be numeric BCAN must be without leading zero Must be within 17 characters.
11	Trade ID	Y	Trade reference number assigned by HKEX for this trade. Must be numeric without comma. E.g. 25296010000000039. Must not exceed the length of 20.

[13] For the same trading day, Trade Date of trades in T+1 session (including trades executed at or after 00:00 next day) should be the same as that of T session.

Example

An aggregated trade with 2 underlying BCANs.

```
Item No.,Reporting Date,CE No. of Reporting Regulated Intermediary,Participant Code for Executing Exchange Participant,Trade Date,Security ID,Execution Price,Execution Quantity,Side,Underlying Individual CE No. and BCAN,Trade ID
1,20250311,ABC123,DEF,20250309,HSIM6,43.1,10000,B,ABC123.8888888,25296010000000039
2,20250311,ABC123,DEF,20250309,HSIM6,43.1,30000,B,ABC123.9999999,25296010000000040
```

3.7 Aggregated Transaction Report Response File

3.7.1 Description

This Response File is used for returning the result of the 2nd level validation of the submitted Aggregated Transaction Report. It contains the records that failed the validation.

The submitted records will be grouped by the same Trade Date, Side and Trade ID (i.e. Field No. 5, 9 and 11 under section 3.6.2) for validation purpose. If any errors are found in the same group, all the submitted records of that group will be returned in the Response File as described in Appendix III C1 and will not be further processed.

For a submitted record with multiple errors, only the first error detected will be included in the response file. EPs should review the whole record and other records of the same group altogether and correct the information for resubmission within the submission window.

After submission cut-off time, only those groups with all records that passed 2nd level of validation in the latest submitted file will be processed.

3.7.2 File Layout

Summary of Aggregated Transaction Report Response File for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File Name	SBCNATRP_<CENUM>_<YYYYMMDD>.csv, and is zipped into: SBCNATRP_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of the Aggregate Transaction Report file). <CENUM> = CE number of the EP/non-EP RRI	FBCNATRP_<CENUM>_<YYYYMMDD>.csv, and is zipped into: FBCNATRP_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of the Aggregate Transaction Report file). <CENUM> = CE number of the EP/non-EP RRI
File Type	Text file in comma-separated values (csv) and delimited by DOS newline characters (CR+LF). ASCII encoded.	
Distribution Time	Within 10 minutes after submission is received by the Exchanges during submission window	
Distribution Path (ECP (SFTP) Interface only)	/download/SBCNRFRPR	/download/FBCNRFRPR
Distribution Page (ECP Web Interfac only)	Download Corner of ECP Web Interface	

For detailed file format, please refer to C.1 of Appendix III.

3.8 Aggregated Transaction Report Result File

3.8.1 Description

The file is used for returning the processed result of the submitted Aggregated Transaction Report.

The submitted records will be grouped by the same Trade Date, Side and Trade ID (i.e. Field No. 5, 9 and 11 under section 3.6.2) for validation purpose. If any errors are found in the same group, all the submitted records of that group will be returned in the Result File as described in Appendix III C2.

For a submitted record with multiple errors, only the first error detected in the Field No. 5, 6 or 11 under section 3.6.2 will be shown. In the case where the submitted record contains errors in the fields other than Field No. 5, 6 or 11, errors will be shown along with the result code and text in separate rows.

EPs/non-EP RRIs should review all the fields of the submitted record and other records of the same group altogether again to ensure the information is correct and aligns with the interface specification.

EPs/non-EP RRIs are required to correct the information for resubmission within the submission window.

Refer to Appendix III C2.3 for list of result codes.

3.8.2 File Layout

Summary of Aggregated Transaction Report Result File for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File Name	SBCNATRSLT_<CENUM>_<YYYYMMDD>.csv, and is zipped into: SBCNATRSLT_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of the Aggregate Transaction Report file). <CENUM> = CE number of the EP/non-EP RRI	FBCNATRSLT_<CENUM>_<YYYYMMDD>.csv, and is zipped into: FBCNATRSLT_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of the Aggregate Transaction Report file). <CENUM> = CE number of the EP/non-EP RRI
File Type	Text file in comma-separated values (csv) and delimited by DOS newline characters (CR+LF). ASCII encoded.	
Distribution Time	By 08:00am on next weekday (including Holiday Trading Day)	
Distribution Path **(ECP (SFTP) Interface only)**	/download/SBCNRFRPR	/download/FBCNRFRPR
Distribution Page **(ECP Web Interface only)**	Download Corner of ECP Web Interface	

For detail file format, please refer to C.2 of Appendix III.

3.9 BCAN Change Report

3.9.1 Description

This file is used for EPs/non-EP RRIs to report the reason of changing BCAN assignment.

3.9.2 File Layout

Summary of BCAN Change Report for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File Name	SBCNBCBN_<CENUM>_<YYYYMMDD>.csv, and is zipped into: SBCNBCBN_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission. <CENUM> = CE Number of the EP/non-EP RRI. Only current date submission is accepted, such as the "Date of submission" is same as current day.	FBCNBCBN_<CENUM>_<YYYYMMDD>.csv, and is zipped into: FBCNBCBN_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission. <CENUM> = CE Number of the EP/non-EP RRI. Only current date submission is accepted, such as the "Date of submission" is same as current day.
File Type	Text file in comma-separated values (csv) format and delimited by DOS newline characters (CR+LF). ASCII encoded.	
Submission Hours	7:00am to 6:00pm on Monday to Friday (with the exception of New Year's Day holiday)	
Submission Path **(ECP (SFTP) Interface only)**	/submission/SBCNRFELR Once the file is processed by the Exchanges , the file will be removed from the submission folder, an Acknowledgment File or a Rejection File will be returned (Refer to Appendix A.1 and A.2).	/submission/FBCNRFELR Once the file is processed by the Exchanges , the file will be removed from the submission folder, an Acknowledgment File or a Rejection File will be returned (Refer to Appendix A.1 and A.2).
Submission Page **(ECP Web Interface only)**	To submit files: Login ECP Web Interface and click "Submission" hyperlink in the navigation bar. Click "[HKIDR-DM: SEHK SSO] Aggregated Transaction and BCAN Change Reports" hyperlink for submission. On submission received: A SHA-256 checksum of the file submitted will be displayed on screen upon submission. On submission rejected: Rejection Code and Rejection Reason will be displayed on screen upon submission (Refer to Appendix A.3). Submission result could also be enquired from the Activity Enquiry page.	To submit files: Login ECP Web Interface and click "Submission" hyperlink in the navigation bar. Click "[HKIDR-DM: HKFE F&O] Aggregated Transaction and BCAN Change Reports" hyperlink for submission. On submission received: A SHA-256 checksum of the file submitted will be displayed on screen upon submission. On submission rejected: Rejection Code and Rejection Reason will be displayed on screen upon submission (Refer to Appendix A.3). Submission result could also be enquired from the Activity Enquiry page.

File Format of BCAN Change Report for SEHK SSO and HKFE F&O

Field No.	Field Name	Mandatory	Synopsis
1	Item No.	Y	A running sequence number starting from 1 used for uniquely identifying individual record within the file. 0 is reserved.
2	Reporting Date	Y	Date of submission. Must be in YYYYMMDD format. Must be the same as the submission date.
3	CE No. of Reporting Regulated Intermediary	Y	CE Number of the EP/non-EP RRI who changed the BCAN assignment. CE No. must be in 6 characters and first 3 characters must be alphabetic in uppercase letters and last 3 characters must be numeric. Must be the same as the CE No. of Original BCAN and Revised BCAN.
4	Original CE No. and BCAN	Y	Original CE No. and BCAN (CE No. + "." + BCAN). CE No. must be in 6 characters and first 3 characters must be alphabetic in uppercase letters, and last 3 characters must be numeric. BCAN must be without leading zero Must be within 17 characters.
5	Revised CE No. and BCAN	Y	Revised CE No. and BCAN (CE No. + "." + BCAN). CE No. must be in 6 characters and first 3 characters must be alphabetic in uppercase letters, and last 3 characters must be numeric. BCAN must be without leading zero Must be within 17 characters.
6	Effective Date	Y	Effective date of the revised CE No. and BCAN. Must be in YYYYMMDD format. Must be before the Reporting Date.
7	Reason of Change	Y	Must not contain comma. Must not exceed 500 characters.

Example

```
Item No.,Reporting Date,CE No. of Reporting Regulated Intermediary,Original CE No. and BCAN,Revised CE No. and BCAN,Effective Date,Reason of Change
1,20210311,ABC123,ABC123.23456,ABC123.2345698765,20210310,Reason 1
2,20210311,ABC123,ABC123.998765412,ABC123.2345,20210310,Reason 2
```

3.10 BCAN Change Report Response File

3.10.1 Description

This Response File is used for returning the result of 2nd level validation of the submitted BCAN Change Report file. It contains the records that failed the validation.

For a submitted record with multiple errors, only the first error detected will be included and EPs should review the whole record again and correct the information for resubmission within the submission window.

A Response File will be returned as per described in Appendix III C1.

After submission cut-off time, those records that passed 2nd level of validation in the latest submitted file will be processed.

3.10.2 File Layout

Summary of BCAN Change Report Response File for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File Name	SBCNBCRP_<CENUM>_<YYYYMMDD>.csv, and is zipped into: SBCNBCRP_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of BCAN Change Report file). <CENUM> = CE number of the EP/non-EP RRI.	FBCNBCRP_<CENUM>_<YYYYMMDD>.csv, and is zipped into: FBCNBCRP_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of BCAN Change Report file). <CENUM> = CE number of the EP/non-EP RRI.
File Type	Text file in comma-separated values (csv) format and delimited by DOS newline characters (CR+LF). ASCII encoded.	
Distribution Time	Within 10 minutes after submission is received by the Exchanges during submission window	
Distribution Path **(ECP (SFTP) Interface only)**	/download/SBCNRFRPR	/download/FBCNRFRPR
Distribution Page **(ECP Web Interface only)**	Download Corner of ECP Web Interface	

For detail file format, please refer to C.1 in Appendix III.

3.11 BCAN Change Report Result File

3.11.1 Description

The file is used for returning the processed result of the submitted BCAN Change Report. In the case where the submitted record contains multiple errors, errors will be shown along with the result code and text in separate rows.

Refer to Appendix III C2.3 for list of result codes.

3.11.2 File Layout

Summary of BCAN Change Report Result File for SEHK SSO and HKFE F&O

	SEHK SSO	HKFE F&O
File Name	SBCNBCRSLT_<CENUM>_<YYYYMMDD>.csv, and is zipped into: SBCNBCRSLT_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of BCAN Change Report file). <CENUM> = CE number of the EP/non-EP RRI.	FBCNBCRSLT_<CENUM>_<YYYYMMDD>.csv, and is zipped into: FBCNBCRSLT_<CENUM>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of BCAN Change Report file). <CENUM> = CE number of the EP/non-EP RRI.
File Type	Text file in comma-separated values (csv) format and delimited by DOS newline characters (CR+LF). ASCII encoded.	
Distribution Time	By 08:00am on next weekday (including Holiday Trading Day)	
Distribution Path **(ECP (SFTP) Interface only)**	/download/SBCNRFRPR	/download/FBCNRFRPR
Distribution Page **(ECP Web Interface only)**	Download Corner of ECP Web Interface	

For detail file format, please refer to C.2 in Appendix III.

3.12 BCAN Error Report

3.12.1 Description

This file is used for EPs to lodge correction of BCAN in trades.

3.12.2 File Layout

Summary of BCAN Error Report for SEHK SSO and HKFE F&O

	SEHK SSO	HKFE F&O
File Name	SBCNERBN_<00PARTICIPANT_CODE>_<YYYYMMDD>.csv, and is zipped into: SBCNERBN_<00PARTICIPANT_CODE>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission. <PARTICIPANT_CODE> = Participant Code of Executing Exchange Participant of the trade. The Participant Code must be in 3 characters with a leading double zero. The 3 characters must be alphabetic and uppercase letters (e.g., DEF). Only current date submission is accepted, such as the "Date of submission" is same as current day.	FBCNERBN_<00PARTICIPANT_CODE>_<YYYYMMDD>.csv, and is zipped into: FBCNERBN_<00PARTICIPANT_CODE>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission. <PARTICIPANT_CODE> = Participant Code of Executing Exchange Participant of the trade. The Participant Code must be in 3 characters with a leading double zero. The 3 characters must be alphabetic and uppercase letters (e.g., DEF). Only current date submission is accepted, such as the "Date of submission" is same as current day.
File Type	Text file in comma-separated values (csv) and delimited by DOS newline characters (CR+LF). ASCII encoded.	
Submission Hour	7:00am to 6:00pm on Monday to Friday (with the exception of New Year's Day holiday)	
Submission Path **(ECP (SFTP) Interface only)**	/submission/SBCNRFEO Once the file is processed by the Exchanges, the file will be removed from the submission folder, an Acknowledgment File or a Rejection File will be returned (Refer to Appendix A.1 and A.2).	/submission/FBCNRFEO Once the file is processed by the Exchanges, the file will be removed from the submission folder, an Acknowledgment File or a Rejection File will be returned (Refer to Appendix A.1 and A.2).
Submission Page **(ECP Web Interface only)**	To submit files: Login ECP Web Interface and click "Submission" hyperlink in the navigation bar. Click "[HKIDR-DM: SEHK SSO] BCAN Error Report" hyperlink for submission. On submission received: A SHA-256 checksum of the file submitted will be displayed on screen upon submission. On submission rejected: Rejection Code and Rejection Reason will be displayed on screen upon submission (Refer to Appendix A.3). Submission result could also be enquired from	To submit files: Login ECP Web Interface and click "Submission" hyperlink in the navigation bar. Click "[HKIDR-DM: HKFE F&O] BCAN Error Report" hyperlink for submission. On submission received: A SHA-256 checksum of the file submitted will be displayed on screen upon submission. On submission rejected: Rejection Code and Rejection Reason will be displayed on screen upon submission (Refer to Appendix A.3). Submission result could also be enquired from

	the Activity Enquiry page.	the Activity Enquiry page.

File Format of BCAN Error Report for SEHK SSO and HKFE F&O

Field No.	Field Name	Mandatory	Synopsis
1	Item No.	Y	A running sequence number starting from 1 used for uniquely identifying individual record within the file. 0 is reserved.
2	Reporting Date	Y	Date of submission. Must be in YYYYMMDD format. Must be the same as the submission date
3	Participant Code for Executing Exchange Participant	Y	Participant Code of executing exchange participant of the trade. Must be three alphabetic and uppercase letters. E.g. DEF
4	Trade Date[14]	Y	Must be in YYYYMMDD format
5	Security ID	Y	Must not exceed the length of 32
6	Execution Quantity	Y	Total quantity of the trade. Must be numeric without comma. Must not exceed the length of 10.
7	Side	Y	Must be either "B" or "S" where B = Buy, S = Sell
8	Original CE No. and BCAN input in ODP	Y	Original CE No. and BCAN (CE No. + "." + BCAN). CE No. must be in 6 characters and first 3 characters must be alphabetic in uppercase letters, and last 3 characters must be numeric. BCAN must be without leading zero. Must be within 17 characters.
9	Revised CE No. and BCAN	Y	Revised CE No. and BCAN (CE No. + "." + BCAN). CE No. must be in 6 characters and first 3 characters must be alphabetic in uppercase letters, and last 3 characters must be numeric. BCAN must be without leading zero. Must be within 17 characters.
10	Trade ID	Y	Trade reference number assigned by the Exchanges for this trade. Must be numeric without comma. E.g. 25296010000000039 Must not exceed the length of 20.

Example

Item No.,Reporting Date,Participant Code for Executing Exchange Participant,Trade Date,Security ID,Execution Quantity,Side,Original CE No. and BCAN input in ODP,Revised CE No. and BCAN,Trade ID

1,20250309,DEF,20250309,HSIM6,20000,B,ABC123.23456,ABC123.2345698765,25296010000000039

2,20250309,DEF,20250309,HSIM6,15000,S,ABC123.6789,ABC123.987654321,25296010000000040

[14] For the same trading day, Trade Date of trades in T+1 session (including trades executed at or after 00:00 next day) should be the same as that of T session.

3.13 BCAN Error Report Response File

3.13.1 Description

This Response File is used for returning the result of 2nd level validation of the submitted BCAN Error Report file. It contains the records that failed the validation.

For a submitted record with multiple errors, only the first error detected will be included and EPs should review the whole record again and correct the information for resubmission within the submission window.

A Response File will be returned as per described in Appendix III C1.

After submission cut-off time, those records that passed 2nd level of validation in latest submitted file will be processed.

3.13.2 File Layout

Summary of BCAN Error Report Response File for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File Name	SBCNERRP_<00PARTICIPANT_CODE>_<YYYYMMDD>.csv, and is zipped into: SBCNERRP_<00PARTICIPANT_CODE>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of BCAN Error Report file). <PARTICIPANT_CODE> = Participant Code of executing Exchange Participant of the trade. The Participant Code must be in 3 characters with a leading double zero. The 3 characters must be alphabetic and uppercase letters (e.g., DEF).	FBCNERRP_<00PARTICIPANT_CODE>_<YYYYMMDD>.csv, and is zipped into: FBCNERRP_<00PARTICIPANT_CODE>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of BCAN Error Report file). <PARTICIPANT_CODE> = Participant Code of executing Exchange Participant of the trade. The Participant Code must be in 3 characters with a leading double zero. The 3 characters must be alphabetic and uppercase letters (e.g., DEF).
File Type	Text file in comma-separated values (csv) and delimited by DOS newline characters (CR+LF). ASCII encoded.	
Distribution Time	Within 10 minutes after submission is received by the Exchanges during submission window	
Distribution Path **(ECP (SFTP) Interface only)**	/download/SBCNRFRPR	/download/FBCNRFRPR
Distribution Page **(ECP Web Interface only)**	Download Corner of ECP Web Interface	

For detail file format, please refer to C.1 of Appendix III.

3.14 BCAN Error Report Result File

3.14.1 Description

The file is used for returning the processed result of the submitted BCAN Error Report file.

For a submitted record with multiple errors, only the first error detected in the Field No. 3, 4, 5 or 10 under section 3.12.2 will be shown. EPs should review all the fields of the submitted record again to ensure the information is correct and align with the interface specification. In the case where the submitted record contains errors in the fields other than Field No. 3, 4, 5 or 10, errors will be shown along with the result code and text in separate rows.

Refer to Appendix III C2.3 for list of result codes.

3.14.2 File Layout

Summary of BCAN Error Report Result File for SEHK SSO and HKFE F&O

	SEHK SSO	**HKFE F&O**
File Name	SBCNERRSLT_<00PARTICIPANT_CODE>_<YYYYMMDD>.csv, and is zipped into: SBCNERRSLT_<00PARTICIPANT_CODE>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of the BCAN Error Report file). <PARTICIPANT_CODE> = Participant Code of executing Exchange Participant of the trade. The Participant Code must be in 3 characters with a leading double zero. The 3 characters must be alphabetic and uppercase letters (e.g., DEF).	FBCNERRSLT_<00PARTICIPANT_CODE>_<YYYYMMDD>.csv, and is zipped into: FBCNERRSLT_<00PARTICIPANT_CODE>_<YYYYMMDD>.zip *where:* <YYYYMMDD> = Date of submission (of the BCAN Error Report file). <PARTICIPANT_CODE> = Participant Code of executing Exchange Participant of the trade. The Participant Code must be in 3 characters with a leading double zero. The 3 characters must be alphabetic and uppercase letters (e.g., DEF).
File Type	Text file in comma-separated values (csv) and delimited by DOS newline characters (CR+LF). ASCII encoded.	
Distribution Time	By 08:00am on next weekday (including Holiday Trading Day)	
Distribution Path **(ECP (SFTP) Interface only)**	/download/SBCNRFRPR	/download/FBCNRFRPR
Distribution Page **(ECP Web Interface only)**	Download Corner of ECP Web Interface	

For detail file format, please refer to C.2 in Appendix III.

A Appendix I

A.1 Acknowledgment File

A.1.1 Description

The Acknowledgment File is applicable to ECP (SFTP) Interface submission only. It contains a SHA-256 checksum of the submitted file to verify the file integrity. It acknowledged the submitted file is received by the Exchanges and is accepted to further process.

For example, BCAN-CID Mapping File uploaded and accepted by the system will be removed from the submission folder of the SFTP user account, and an Acknowledgment File "<Original-filename>.<HHMMSS>.rcvd",

e.g. SBCNMAPP_XXX123_20210401.zip.093000.rcvd will be generated in the submission folder. When there appears an Acknowledgment File of duplicate file name, e.g. multiple files of same file name are received by the Exchanges at the same time and accepted, a file running sequence number will be assigned to the Acknowledgment File "<Original-filename>.<HHMMSS>.<FILESEQ>.rcvd",

e.g. SBCNMAPP_XXX123_20210401.zip.093000.1.rcvd

If the file is submitted via ECP Web Interface, the checksum detail will be displayed at the submission page or can be enquired from the Activity Enquiry page.

A.1.2 File Layout

Summary

File Extension	.rcvd
File Name	<Original-filename>.<HHMMSS>[.FILESEQ].rcvd *where:* [.FILESEQ] = File running sequence exists only when appears duplication of file name Example: When three files of same file name are uploaded at 09:30:00 and are accepted 1st file: <Original-filename>.093000.rcvd 2nd file: <Original-filename>.093000.1.rcvd 3rd file: <Original-filename>.093000.2.rcvd
File Type	Text file delimited by DOS newline characters (CR+LF). Record data fields are in fixed length. ASCII encoded.
Distribution Time	Within 5 minutes after submitting File
Distribution Path **(ECP (SFTP) Interface only)**	At the submission folder of submitted file
Distribution Page **(ECP Web Interface only)**	Not Applicable

Data Record

Field No.	Data	Format	Synopsis
1	SHA-256 checksum	X(66)	SHA-256 checksum of submission file
2	File name	X(255)	Submission file name

A.2 Rejection File

A.2.1 Description

The Rejection File is applicable to ECP (SFTP) Interface submission only. It acknowledged the submission file is received by the Exchanges and is rejected. For a file with multiple errors, only the first error detected will be included and EPs/non-EP RRIs should review the whole file again.

For example, BCAN-CID Mapping File. BCAN-CID Mapping files rejected by the system will be removed from the submission folder of the SFTP user account, and a Rejection File "<Original-filename>.<HHMMSS>.rej",

e.g. BCNMADP_AB2222_20210401.zip.093000.rej will be generated at the submission folder. When there appears a Rejection File of duplicate file name, e.g. multiple files of same file name are submitted to the Exchanges at the same time and are rejected, a file running sequence number will be assigned to the Rejection File "<Original-filename>.<HHMMSS>.<FILESEQ>.rej", e.g. SBCNMAPP_XXX123_20210401.zip.093000.1.rej.

A submitted file will be rejected for example:

- File name of submitted file is not specified correctly: e.g. BCAN-CID Mapping File BNMAP_ABC123_20210401.zip is in wrong format (see section 2.4.2 for correct file name format); or
- Date in the file name is invalid or past-/post-dated; or
- The file submission is made outside the submission hour.

Please refer to Appendix A.3 for full list of Rejection Code.

If the file is submitted via ECP Web Interface, the rejection code and reason will be displayed at submission page or can be enquired from the Activity Enquiry page.

No Response File will be given when the submitted file is rejected.

A.2.2 File Layout

Summary

File Extension	.rej
File Name	<Original-filename>.<HHMMSS>[.FILESEQ].rej *where:* [.FILESEQ] = File running sequence exists only when appears duplication of file name Example: When three files of same file name are uploaded at 09:30:00 and are rejected 1st file: <Original-filename>.093000.rej 2nd file: <Original-filename>.093000.1.rej 3rd file: <Original-filename>.093000.2.rej
File Type	Text file delimited by DOS newline characters (CR+LF). Record data fields are in fixed length. ASCII encoded.

Distribution Time	Within 5 minutes after submitting File
Distribution Path **(ECP (SFTP) Interface only)**	At submission folder of submitted file
Distribution Page **(ECP Web Interface only)**	Not Applicable

Data Record

Field No.	**Data**	**Format**	**Synopsis**
1	Rejection Code	X(5)	Refer to Appendix A.3
2	Rejection Reason	X(255)	Refer to Appendix A.3

A.3 Rejection Codes used when submitted file is rejected

Rejection Code	**Synopsis**
2007	Fail to decrypt uploaded file
4003	Rejected by virus scan
4004	Exceed file size limit
4005	Zero file size
4006	File name too long
4007	File name contains invalid characters
4008	File submission without client consent is not accepted
4505	Invalid file name
4506	Invalid file name extension
4507	Beyond submission hour

B Appendix II

B.1 Response Codes used in BCAN-CID Response File

Response Code	File Level Error	Synopsis
D0101	Yes	Submitted file is corrupted
D0102	Yes	Invalid (txt) file name
D0103	Yes	Invalid file layout (e.g. format or missing of header/control records)
D0104	Yes	Invalid control counters (record count in control record)
D0105	Yes	Invalid encoding (file is not UTF-8 encoded)
D0106	Yes	Invalid data record layout (e.g. invalid record type, invalid record length)
D0201	Yes	Header record error: Invalid file ID
D0202	Yes	Header record error: Invalid file format version
D0203	Yes	Header record error: Invalid CE Number
D0204	Yes	Header record error: Invalid submission date
D0205	Yes	Header record error: Invalid submission sequence number
D0221	No	Data record error: Duplicated record sequence number
D0222	No	Data record error: Invalid data format (e.g. putting in text for BCAN)
D0223	No	Data record error: Invalid data value (e.g. putting in 20 for Client Type)
D0224	No	Data record error: Failed validation rule (e.g. Client Type was 1 but English First Name and Middle Name, English Last Name and Chinese Name were all missing)
D0225	Yes	Data record error: Invalid CE Number
S0102	Yes	General system error: Contact the Exchanges

B.2 Result Codes used in BCAN-CID Process Result File

Process result codes are listed in the table below.

Process result text has two parts: the first part is the Record Sequence Number (enclosed in square brackets, [nnnnnnnnnnn]) of the BCAN-CID record in the submitted mapping file; the second part, which follows the Record Sequence Number and is optional, is the text description of the process result.

Process Result Code	Process Result Text
0000	[nnnnnnnnnnn] Successfully processed and accepted
0999	[nnnnnnnnnnn] General error. Contact the Exchanges

C Appendix III

C.1 Reporting Forms Response File

C.1.1 Description

The Response File is used for returning the result of format validation of submitted reporting forms as stated in section 3. It contains list of records that failed the validation.

No Response File will be given when the submitted file is rejected in the 1st level validation. Please refer to A.2 for details.

<u>For Aggregated Transaction Report:</u>

The submitted records will be grouped by Field No. 5, 9 and 11 under section 3.6.2 for validation purpose. If any errors are found in the same group, all the submitted records of that group will be returned in the Response File.

For a submitted record with multiple errors, only the first error detected will be included in the response file. EPs should review the whole record and other records of the same group altogether and correct the information for resubmission within the submission window.

Response code and text, together with the original record item number, will be given for each of the submitted records. Response code and text are set out in C.1.3.

In the case where all submitted records contained in the file pass the format validation, the Response File will only carry one data record with the response code and response text of "S0101 - Submitted data pass all format validations".

In the case where file-level errors are found as listed in C.1.3, the Reporting Form(s) will not be further validated/processed, and the entire form will be discarded.

After submission cut-off time, only those groups with all records that passed 2nd level of validation in latest submitted file will be processed.

<u>For BCAN Change Report, and BCAN Error Report:</u>

For a submitted record with multiple errors, only the first error detected will be included and EPs/non-EP RRIs should review the whole record again and correct the information for resubmission within the submission window.

Response code and text, together with the original record item number, will be given for each of the submitted records. Response code and text are set out in C.1.3.

In the case where all submitted records contained in the file pass the format validation, the Response File will only carry one data record with the response code and response text of "S0101 - Submitted data pass all format validations".

In the case where file-level errors are found as listed in C.1.3, the Reporting Form(s) will not be further validated/processed, and the entire form will be discarded.

After submission cut-off time, those records that passed 2nd level of validation in latest submitted file will be processed.

C.1.2 File Layout

The Response File is in comma-separated values (csv) format.

File Format

Field No.	Data	Synopsis
1	Original Item no.	Item number of the record as in the submitted reporting forms. It would be a blank value for response code S0101.
2	Response Code	Please refer to C.1.3
3	Response Text	Please refer to C.1.3

C.1.3 Response Code

Response Code	File Level Error	Response Text
D1001	Yes	Submitted file is corrupted
D1002	Yes	Invalid (csv) file name
D1003	Yes	Invalid file layout
D1004	No	Data record error: Duplicated Item No
D1005	No	Data record error: Invalid data format (*Field Name*[15])
D1006	No	Data record error: Invalid data value (*Field Name*[13])
D1007	No	Data record error: Invalid data length (*Field Name*[13])
D1008	No	Data record error: Invalid reporting date
D1100	No	Format validation is completed but will not be processed as other submitted records of same group (by Trade Date; Side; Trade ID) have not yet passed the validation
S0101	No	Submitted data pass all format validations
S0102	Yes	General system error. Contact HKEX

[15] Field Name indicates the field that fails the validation.

C.2 Reporting Forms Result File

C.2.1 Description

The Result File contains the processed result of the submitted reporting forms.

Result code and text, together with the original record item number, will be given for each submitted records.

This Result File contains all the submitted records of the file, including those failed records during the 2nd level validation with the result code and result text of "D2001- Failed record in the second level validation".

Please refer to C.2.3 for list of result codes.

C.2.2 File Layout

The Result File is in comma-separated values (csv) format.

File Format

Field No.	Data	Synopsis
1	Original Item no.	Item number of the record as in the submitted reporting forms
2	Result Code	Please refer to C.2.3
3	Result Text	Please refer to C.2.3

C.2.3 Result Code

Result Code	Result Text
D2001	Failed record in the second level validation
D2002	Participant Code for Executing Exchange Participant does not match with such represented by the reported Trade ID
D2003	Security ID does not match with such represented by the reported Trade ID
D2004	Execution Quantity does not match with such represented by the reported Trade ID
D2005	Trade side does not match with such represented by the reported Trade ID
D2006	CE-BCAN does not match with such represented by the reported Trade ID
D2007	Invalid CE No. and BCAN - the reported value is not a registered BCAN
D2008	Invalid Trade ID
D2011	CE No. and BCAN not inactive in the BCAN-CID Mapping File
D2013	Invalid Trade date
D2014	Verification is completed but will not be processed as other submitted records of same group (by Trade Date; Side; Trade ID) have not yet passed the validation
D2015	Invalid Effective date
D2016	CE No. of the Reporting Regulated Intermediary does not match with such represented by the Reported Trade ID
D2017	The reported quantity is larger than the quantity represented by the reported Trade ID

D2018	Invalid CE No. and BCAN - the BCAN of the trade is not the required reserved value[8]
S0101	Submitted data pass all data validations
S0102	General system error. Contact HKEX

[8] If an aggregated trade was tagged incorrectly, i.e. not tagged with the required reserved value, EPs are required to submit a BCAN Error Report to report the error before/on the date of submission of relevant Aggregated Transaction Report.