# HKEX
## 香 港 交 易 所

File Specification – Stock Static Data (Daily File)

## Updating history

| No. | Issue Date | Details |
|---|---|---|
| 1 | 2013-09-30 | First issue |
| 2 | 2014-11-17 | Enlarge the data field length of HSIC_CODE in equity securities file from 3 bytes to 4 bytes, with effect from the issue of 1 December 2014 |
| 3 | 2015-11-02 | Update the Types of Securities list in Appendix 2 |
| 4 | 2016-07-15 | Include CAS indicator and VCM indicator in the following Stock static data file<br>– Equity securities;<br>– Warrants;<br>– Debt securities;<br>– Unit trusts/mutual funds<br>– Equity linked instruments ("ELI")<br>– Callable bull/bear contracts ("CBBC")<br><br>Remove (0601) Rights from the Type of Securities of Appendix 2 |
| 5 | 2016-11-04 | Split unit trusts/mutual funds file into four files by the following types:<br>– exchange traded funds;<br>– leverage and inverse products;<br>– real estate investment trusts;<br>– other unit trusts/mutual funds<br><br>Add five reserved fields in warrants file |
| 6 | 20180205 | Update description of market code value 'G'<br>Update HKEX company short name |

## Data structure

Stock Static Data (Daily File) is available before trading commences to provide the latest static information on different types of securities eligible for trading on the trading day.

The data provided in Stock Static Data are presented in 11 files:

1) Stock static data file – equity securities;
2) Stock static data file – warrants;
3) Stock static data file – debt securities
4) Stock static data file – exchange traded funds ("ETF")
5) Stock static data file – leveraged and inverse products ("L&I Product")
6) Stock static data file – real estate investment trusts ("REIT")
7) Stock static data file – other unit trusts/mutual funds
8) Stock static data file – equity linked instruments ("ELI")
9) Stock static data file – callable bull/bear contracts ("CBBC")
10) Stock static data file – Chinese name ; and
11) Registrar data file – share and trust registrars

The data files are provided in comma separated values (.csv) format with text in quotes. The first record is the header record containing the field names.

The data files are zipped into a single file for delivery.  The following table lists out the data files to be found within the zipped file:

| File name | Contents |
|---|---|
| Equity_*yyyymmdd* | Basic capital and financial data of equity stocks as at the start of the day yyyymmdd.  Stocks covered include ordinary and preference shares as well as trading-only NASDAQ stocks |
| warrant_*yyyymmdd* | Basic static information on warrants as at the start of the day yyyymmdd.  Stocks covered include equity warrants and derivative warrants. |
| debt_*yyyymmdd* | Basic static information on debt securities as at the start of the day yyyymmdd. |
| etf_*yyyymmdd* | Basic static information on exchange traded funds as at the start of the day yyyymmdd. |
| lip_*yyyymmdd* | Basic static information on leverage and inverse products as at the start of the day yyyymmdd. |
| reit_*yyyymmdd* | Basic static information on real estate investment trusts as at the start of the day yyyymmdd. |
| other_trust_*yyyymmdd* | Basic static information on unit trusts/mutual funds other than exchange traded funds, leverage and inverse products, and real estate investment trusts as at the start of the day yyyymmdd. |
| eli_*yyyymmdd* | Basic static information on equity linked instruments as at |

| | the start of the day yyyymmdd. |
|---|---|
| cbbc_*yyyymmdd* | Basic static information on callable bull/bear contracts as at the start of the day yyyymmdd. |
| Chinese_*yyyymmdd* | Chinese name on all stocks as at the start of the day yyyymmdd |
| registrar_*yyyymmdd* | Contact information on share and trust registrars |

## 1. Stock static data file – equity securities

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 1 | STKCODE | Character 5 bytes | Code assigned to the stock. This code is not unique since codes assigned to delisted stocks can be re-used. |
| 2 | STK_ID | Character 9 bytes | Unique identifier assigned to the stock See Appendix 1 for details |
| 3 | DATE | Character 10 bytes | Date of the respective trading day.<br><br>Format is YYYY/MM/DD where<br>YYYY - year<br>MM - month<br>DD - day |
| 4 | FULL_NAME | Character 60 bytes | Full name of stock |
| 5 | SHORT_NAME | Character 15 bytes | Short name of stock |
| 6 | SE_TYPE | Character 4 bytes | Code assigned to indicate the type of securities<br>See table in Appendix 2 for valid values |
| 7 | TRAD_CUR | Characters 3 bytes | Trading currency of stock |
| 8 | MARKET | Characters 1 byte | Market code. Possible values are :<br>'M' – Main Board<br>'G' – GEM |
| 9 | ISIN * | Characters 12 bytes | International Securities Identification Number |
| 10 | BOARD_LOT | Numeric 7 bytes | Board lot |
| 11 | LIST_DATE | Character 10 bytes | Listing date.<br>Format is YYYY/MM/DD<br>Blank if listing date is not available |
| 12 | FIRST_DATE | Character 10 bytes | First trading date<br>Format is YYYY/MM/DD |
| 13 | LAST_DATE | Character 10 bytes | Last trading date<br>Format is YYYY/MM/DD |
| 14 | DELIST_DATE | Character 10 bytes | Delisting date<br>Format is YYYY/MM/DD |
| 15 | SS_IND | Character 1 byte | To indicate if a designated stock for short selling<br>Y – Designated for short selling<br>N – Not designated for short selling |

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* The Stock Exchange of Hong Kong only assigns ISIN for securities of which the issuing companies are registered in Hong Kong. For other HK-listed securities of which the issuing companies are registered outside Hong Kong, the ISIN codes are being assigned and updated by the National Numbering Agencies or their substitute agencies of the corresponding countries. The Stock Exchange of Hong Kong collects the above information on best effort basis.

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 16 | SUSP_IND | Character 1 byte | To indicate if suspended for trading at the start of the day<br>Y – Suspended<br>N – Not suspended |
| 17 | SUSP_DATE | Character 10 bytes | The start date of the suspension if SUSP_IND = Y<br>Format is YYYY/MM/DD |
| 18 | REGISTRAR | Character 4 bytes | Code of the registrar.<br>Refer to the registrar file for details |
| 19 | FILLER | Numeric 1 byte | Filter |
| 20 | AUTH_SH | Numeric 15 bytes | Number of authorised shares as at the end of the month<br>**This data item is not applicable to NASDAQ stocks and H Shares** |
| 21 | ISS_SH | Numeric 15 bytes | Number of issued shares<br>See Appendix 3 for the practice in updating the number of issued shares |
| 22 | ISS_SH_DATE | Character 10 bytes | Number of issued shares as at date<br>Format is YYYY/MM/DD |
| 23 | MARKET_CAP | Numeric 15 bytes | Market capitalisation in trading currency as at the start of the day |
| 24 | EPS | Numeric 15 bytes S9(5).9(8) | Earnings per shares.<br>EPS = 0 if N/A or negative earnings<br>Value is accurate to 4 decimal places |
| 25 | EPS_CUR | Character 3 bytes | Currency of EPS |
| 26 | EPS_IND | Character 1 byte | "A" if the EPS is an adjusted value |
| 27 | PE_RATIO | Numeric 7 bytes 9(4).9(2) | Price earnings ratio as at the start of the day. |
| 28 | DPS | Numeric 14 bytes 9(5).9(8) | Dividend per shares<br>Value is accurate to 4 decimal places |
| 29 | DPS_CUR | Character 3 bytes | Currency of DPS |
| 30 | DPS_IND | Character 1 byte | "A" if the DPS is an adjusted value |
| 31 | YIELD | Numeric 7 bytes 9(4).9(2) | Dividend yield as at the start of the day |
| 32 | PAR | Numeric 14 bytes 9(5).9(8) | Par value<br>Value is accurate to 5 decimal places |
| 33 | PAR_CUR | Character 3 bytes | Currency of PAR |
| 34 | BAL_SH_DATE | Character 10 bytes | Balance sheet date<br>Format is YYYY/MM/DD |

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 35 | PROFIT | Numeric 15 bytes | Net profit |
| 36 | PROFIT_CUR | Character 3 bytes | Currency of PROFIT |
| 37 | NAV | Numeric 15 bytes | Net asset value |
| 38 | NAV_CUR | Character 3 bytes | Currency of NAV |
| 39 | RESRV | Numeric 15 bytes | Total reserves |
| 40 | RESRV_CUR | Character 3 bytes | Currency of RESERVE |
| 41 | HSIC_CODE | Character 4 bytes | Hang Seng Industry Classification Code provided by Hang Seng Indexes Company Limited **Please see footnote** [*] |
| 42 | CAS_IND | Character 1 byte | To indicate if Closing Auction Session (CAS) is applicable to the security "Y" – CAS applicable "N" – CAS not applicable |
| 43 | VCM_IND | Character 1 byte | To indicate if Volatility Control Mechanism (VCM) is applicable to the security "Y" – VCM applicable "N" – VCM not applicable |

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[*] The industry and sector classification results of the Hang Seng Industry Classification System referred to in this section ("HSICS Information") is provided by Hang Seng Indexes Company Limited. Neither Hang Seng Indexes Company Limited nor any of its holding companies and subsidiaries nor HKEX Information Services Limited nor any of its holding companies and subsidiaries provides any warranties of any kind in relation to such HSICS Information (including, without limitation, that the HSICS Information is fit or suitable for any purpose, or that any person will obtain any particular results by using or relying on the HSICS Information) or accepts any responsibilities for its accuracy, completeness, timeliness and/or consistency, or for any loss or damage whatsoever and howsoever suffered or incurred by any person. With the use of or the access to the HSICS Information any person receiving any HSICS Information from HKEX Information Services Limited or any of its holding companies or subsidiaries irrevocably and unconditionally accepts and agrees to be bound by this disclaimer

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## 2. Stock static data file – warrants

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 1 | STKCODE | Character 5 bytes | Code assigned to the stock. This code is not unique since codes assigned to delisted stocks can be re-used. |
| 2 | STK_ID | Character 9 bytes | Unique identifier assigned to the stock See Appendix 1 for details |
| 3 | DATE | Character 10 bytes | Date of the respective trading day. Format is YYYY/MM/DD where YYYY - year MM - month DD - day |
| 4 | FULL_NAME | Character 60 bytes | Full name of stock |
| 5 | SHORT_NAME | Character 15 bytes | Short name of stock |
| 6 | SE_TYPE | Character 4 bytes | Code assigned to indicate the type of securities See table in Appendix 2 for valid values |
| 7 | TRAD_CUR | Characters 3 bytes | Trading currency of stock |
| 8 | MARKET | Characters 1 byte | Market code. Possible values are : 'M' – Main Board 'G' – GEM |
| 9 | ISIN* | Characters 12 bytes | International Securities Identification Number |
| 10 | BOARD_LOT | Numeric 7 bytes | Board lot |
| 11 | LIST_DATE | Character 10 bytes | Listing date. Format is YYYY/MM/DD Blank if listing date is not available |
| 12 | FIRST_DATE | Character 10 bytes | First trading date Format is YYYY/MM/DD |
| 13 | LAST_DATE | Character 10 bytes | Last trading date Format is YYYY/MM/DD |
| 14 | DELIST_DATE | Character 10 bytes | Delisting date Format is YYYY/MM/DD |
| 15 | SS_IND | Character 1 byte | To indicate if a designated stock for short selling Y – Designated for short selling N – Not designated for short selling |

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File Specification – Stock Static Data (Daily File)

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 16 | SUSP_IND | Character 1 byte | To indicate if suspended for trading at the start of the day<br>Y – Suspended<br>N – Not suspended |
| 17 | SUSP_DATE | Character 10 bytes | The start date of the suspension if SUSP_IND = Y<br>Format is YYYY/MM/DD |
| 18 | BASKET_IND | Character 1 byte | To distinguish basket warrants<br>Possible values are :<br>Y – basket warrant<br>N – not basket warrant |
| 19 | CALL_PUT | Character 1 byte | To indicate call/put type<br>Possible values are :<br>C – call<br>P – Put |
| 20 | EXER_STYLE | Character 1 byte | Exercise style<br>Possible values are :<br>A – American<br>E – European |
| 21 | SETTLE_TYPE | Character 1 byte | Settlement type<br>C – Cash<br>P – Physical |
| 22 | BD_LOT_NOM | Numeric 16 bytes 9(13).9(2) | Board lot nominal |
| 23 | BLN_CUR | Character 3 bytes | Currency of BD_LOT_NOM |
| 24 | AMT_ISS | Numeric 15 bytes | Amount issued |
| 25 | AMT_ISS_UNIT | Character 1 byte | Amount issued unit indicator<br>U – in units<br>$ – in dollars |
| 26 | AMT_ISS_CUR | Character 3 bytes | Currency of AMT_ISS in dollars |
| 27 | ISUB_PR | Numeric 16 bytes 9(7).9(8) | Initial subscription price |
| 28 | ISUB_PR_CUR | Character 3 bytes | Currency of ISUB_PR |
| 29 | AMT_OS | Numeric 15 bytes | Amount outstanding |
| 30 | AMT_OS_UNIT | Character 1 byte | Amount outstanding unit indicator<br>U – in units<br>$ – in dollars |
| 31 | AMT_OS_CUR | Character 3 bytes | Currency of AMT_OS in dollars |
| 32 | AMT_OS_DATE | Character 10 bytes | Amount outstanding as at date<br>Format is YYYY/MM/DD |

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 33 | SUB_PR | Numeric 16 bytes 9(7).9(8) | Subscription price or strike level |
| 34 | SUB_PR_CUR | Character 3 bytes | Currency of subscription price |
| 35 | SUB_PR_CF | Numeric 16 bytes 9(7).9(8) | Capped/Floor subscription price/strike level |
| 36 | SUB_RATIO | Numeric 16 bytes 9(7).9(8) | Subscription ratio |
| 37 | SUB_RPU | Numeric 16 bytes 9(7).9(8) | Subscription rights per unit |
| 38 | SUB_FROM | Character 10 bytes | Subscription period – from (inclusive) Format is YYYY/MM/DD |
| 39 | SUB_TO | Character 10 bytes | Subscription period – to (inclusive) Format is YYYY/MM/DD |
| 40 | PREMIUM | Numeric 13 bytes 9(4).9(8) | Premium as at the start of dayZero if N/A Value is accurate to 3 decimal places 9999.999 if the value overflows |
| 41 | UNDERLYING | Character 5 bytes | Stock code of underlying stock. Applicable to warrants with a single equity stock as underlying only. |
| 42 | CAS_IND | Character 1 byte | To indicate if Closing Auction Session (CAS) is applicable to the security "Y" – CAS applicable "N" – CAS not applicable |
| 43 | VCM_IND | Character 1 byte | To indicate if Volatility Control Mechanism (VCM) is applicable to the security "Y" – VCM applicable "N" – VCM not applicable |
| 44 | RESERVED_1 | Numeric 16 bytes 9(7).9(8) | Blank |
| 45 | RESERVED_2 | Numeric 16 bytes 9(7).9(8) | Blank |
| 46 | RESERVED_3 | Numeric 16 bytes 9(7).9(8) | Blank |
| 47 | RESERVED_4 | Numeric 16 bytes 9(7).9(8) | Blank |
| 48 | RESERVED_5 | Character 100 byte | Blank |

## 3. Stock static data file – debt securities

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 1 | STKCODE | Character 5 bytes | Code assigned to the stock. This code is not unique since codes assigned to delisted stocks can be re-used. |
| 2 | STK_ID | Character 9 bytes | Unique identifier assigned to the stock See Appendix 1 for details |
| 3 | DATE | Character 10 bytes | Date of the respective trading day.<br><br>Format is YYYY/MM/DD where<br>YYYY - year<br>MM - month<br>DD - day |
| 4 | FULL_NAME | Character 60 bytes | Full name of stock |
| 5 | SHORT_NAME | Character 15 bytes | Short name of stock |
| 6 | SE_TYPE | Character 4 bytes | Code assigned to indicate the type of securities See table in Appendix 2 for valid values |
| 7 | TRAD_CUR | Characters 3 bytes | Trading currency of stock |
| 8 | MARKET | Characters 1 byte | Market code. Possible values are :<br>'M' – Main Board<br>'G' – GEM |
| 9 | ISIN [*] | Characters 12 bytes | International Securities Identification Number |
| 10 | BOARD_LOT | Numeric 6 bytes | Board lot |
| 11 | LIST_DATE | Character 10 bytes | Listing date.<br>Format is YYYY/MM/DD<br>Blank if listing date is not available |
| 12 | FIRST_DATE | Character 10 bytes | First trading date<br>Format is YYYY/MM/DD |
| 13 | LAST_DATE | Character 10 bytes | Last trading date<br>Format is YYYY/MM/DD |
| 14 | DELIST_DATE | Character 10 bytes | Delisting date<br>Format is YYYY/MM/DD |
| 15 | SS_IND | Character 1 byte | To indicate if a designated stock for short selling<br>Y – Designated for short selling<br>N – Not designated for short selling |

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| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 16 | SUSP_IND | Character 1 byte | To indicate if suspended for trading at the start of the day<br>Y – Suspended<br>N – Not suspended |
| 17 | SUSP_DATE | Character 10 bytes | The start date of the suspension if SUSP_IND = Y<br>Format is YYYY/MM/DD |
| 18 | BD_LOT_NOM | Numeric 16 bytes 9(13).9(2) | Board lot nominal |
| 19 | BLN_CUR | Character 3 bytes | Currency of BD_LOT_NOM |
| 20 | PR_AMT | Numeric 15 bytes | Principal amount |
| 21 | PR_AMT_CUR | Character 3 bytes | Currency of PR_AMT |
| 22 | AMT_RD_DATE | Character 10 bytes | Date of amount raised<br>Format is YYYY/MM/DD |
| 23 | ISS_PR | Numeric 16 bytes 9(7).9(8) | Issue price in %<br><br>Weighted average of issue price in % if have further issues with different issue price |
| 24 | AMT_OS | Numeric 15 bytes | Amount outstanding |
| 25 | AMT_OS_CUR | Character 3 bytes | Currency of AMT_OS |
| 26 | MATURITY | Character 10 bytes | Maturity date<br>Format is YYYY/MM/DD |
| 27 | COUPON | Numeric 16 bytes 9(7).9(8) | Interest rate / coupon rate in %. |
| 28 | CAS_IND | Character 1 byte | To indicate if Closing Auction Session (CAS) is applicable to the security<br>"Y" – CAS applicable<br>"N" – CAS not applicable |
| 29 | VCM_IND | Character 1 byte | To indicate if Volatility Control Mechanism (VCM) is applicable to the security<br>"Y" – VCM applicable<br>"N" – VCM not applicable |

**4. Stock static data file – exchange traded funds ("ETF");**
**Stock static data file – leveraged and inverse products ("L&I Product");**
**Stock static data file – real estate investment trusts ("REIT");**
**Stock static data file – other unit trusts/mutual funds**

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 1 | STKCODE | Character 5 bytes | Code assigned to the stock. This code is not unique since codes assigned to delisted stocks can be re-used. |
| 2 | STK_ID | Character 9 bytes | Unique identifier assigned to the stock See Appendix 1 for details |
| 3 | DATE | Character 10 bytes | Date of the respective trading day. Format is YYYY/MM/DD where YYYY - year MM - month DD - day |
| 4 | FULL_NAME | Character 60 bytes | Full name of stock |
| 5 | SHORT_NAME | Character 15 bytes | Short name of stock |
| 6 | SE_TYPE | Character 4 bytes | Code assigned to indicate the type of securities See table in Appendix 2 for valid values |
| 7 | TRAD_CUR | Characters 3 bytes | Trading currency of stock |
| 8 | MARKET | Characters 1 byte | Market code. Possible values are : 'M' – Main Board 'G' – GEM |
| 9 | ISIN [*] | Characters 12 bytes | International Securities Identification Number |
| 10 | BOARD_LOT | Numeric 6 bytes | Board lot |
| 11 | LIST_DATE | Character 10 bytes | Listing date. Format is YYYY/MM/DD Blank if listing date is not available |
| 12 | FIRST_DATE | Character 10 bytes | First trading date Format is YYYY/MM/DD |
| 13 | LAST_DATE | Character 10 bytes | Last trading date Format is YYYY/MM/DD |
| 14 | DELIST_DATE | Character 10 bytes | Delisting date Format is YYYY/MM/DD |
| 15 | SS_IND | Character 1 byte | To indicate if a designated stock for short selling Y – Designated for short selling N – Not designated for short selling |

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| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 16 | SUSP_IND | Character 1 byte | To indicate if suspended for trading at the start of the day<br>Y – Suspended<br>N – Not suspended |
| 17 | SUSP_DATE | Character 10 bytes | The start date of the suspension if SUSP_IND = Y<br>Format is YYYY/MM/DD |
| 18 | FUND_MGR | Character 120 bytes | Fund manager |
| 19 | REGISTRAR | Character 4 bytes | Code of the trust registrar<br>Refer to the registrar file for details |
| 20 | ORIG_PRICE | Numeric 13 bytes 9(4).9(8) | Original offer price<br>Value is accurate to 3 decimal places |
| 21 | ORIG_PR_CUR | Character 3 bytes | Currency of ORIG_PRICE |
| 22 | LAUNCH_DATE | Character 10 bytes | Date launched<br>Format is YYYY/MM/DD |
| 23 | AMT_OS | Numeric 15 bytes | Amount outstanding |
| 24 | AMT_OS_UNIT | Numeric 1 byte | Amount outstanding unit indicator<br>U – AMT_OS is in units<br>$ – AMT_OS is in dollars |
| 25 | AMT_OS_CUR | Character 3 bytes | Currency of AMT_OS |
| 26 | AMT_OS_DATE | Character 10 bytes | Amount outstanding as at date<br>Format is YYYY/MM/DD |
| 27 | DIST_PU | Numeric 16 bytes 9(7).9(8) | Distribution per unit |
| 28 | YIELD | Numeric 16 bytes 9(7).9(8) | Yield |
| 29 | CAS_IND | Character 1 byte | To indicate if Closing Auction Session (CAS) is applicable to the security<br>"Y" – CAS applicable<br>"N" – CAS not applicable |
| 30 | VCM_IND | Character 1 byte | To indicate if Volatility Control Mechanism (VCM) is applicable to the security<br>"Y" – VCM applicable<br>"N" – VCM not applicable |

## 5. Stock static data file – equity linked instruments

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 1 | STKCODE | Character 5 bytes | Code assigned to the stock.  This code is not unique since codes assigned to delisted stocks can be re-used. |
| 2 | STK_ID | Character 9 bytes | Unique identifier assigned to the stock See Appendix 1 for details |
| 3 | DATE | Character 10 bytes | Date of the respective trading day.<br><br>Format is YYYY/MM/DD where<br>YYYY - year<br>MM    - month<br>DD     - day |
| 4 | FULL_NAME | Character 60 bytes | Full name of stock |
| 5 | SHORT_NAME | Character 15 bytes | Short name of stock |
| 6 | SE_TYPE | Character 4 bytes | Code assigned to indicate the type of securities See table in Appendix 2 for valid values |
| 7 | TRAD_CUR | Characters 3 bytes | Trading currency of stock |
| 8 | MARKET | Characters 1 byte | Market code.  Possible values are :<br>'M' – Main Board<br>'G' – GEM |
| 9 | ISIN [*] | Characters 12 bytes | International Securities Identification Number |
| 10 | BOARD_LOT | Numeric 6 bytes | Board lot |
| 11 | LIST_DATE | Character 10 bytes | Listing date.<br>Format is YYYY/MM/DD<br>Blank if listing date is not available |
| 12 | FIRST_DATE | Character 10 bytes | First trading date<br>Format is YYYY/MM/DD |
| 13 | LAST_DATE | Character 10 bytes | Last trading date<br>Format is YYYY/MM/DD |
| 14 | DELIST_DATE | Character 10 bytes | Delisting date<br>Format is YYYY/MM/DD |
| 15 | SS_IND | Character 1 byte | To indicate if a designated stock for short selling<br>Y – Designated for short selling<br>N – Not designated for short selling |

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| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 16 | SUSP_IND | Character 1 byte | To indicate if suspended for trading at the start of the day<br>Y – Suspended<br>N – Not suspended |
| 17 | SUSP_DATE | Character 10 bytes | The start date of the suspension if SUSP_IND = Y<br>Format is YYYY/MM/DD |
| 18 | BASKET_IND | Character 1 byte | To distinguish basket ELI<br>Possible values are :<br>Y – basket ELI<br>N – not basket ELI |
| 19 | ELI_TYPE | Character 2 bytes | ELI type. Possible values are:<br>01 – Bull<br>02 – Bear<br>03 – Range |
| 20 | SETTLE_TYPE | Character 1 byte | Settlement type<br>C – Cash<br>P – Physical |
| 21 | AMT_ISSUED | Numeric 15 bytes | Amount issued in units |
| 22 | ISS_PR | Numeric 16 bytes 9(7).9(8) | Issue price |
| 23 | ISS_PR_CUR | Character 3 bytes | Currency of ISS_PR |
| 24 | PAR | Numeric 16 bytes 9(7).9(8) | Par value |
| 25 | PAR_CUR | Character 3 bytes | Currency of PAR |
| 26 | PAR_BD_LOT | Numeric 16 bytes 9(13).9(2) | Par value per board lot for ELI |
| 27 | ISTRK_PR_L | Numeric 16 bytes 9(7).9(8) | Initial strike price for bull/bear ELI<br>Initial lower strike price for range ELI |
| 28 | ISTRK_PR_U | Numeric 16 bytes 9(7).9(8) | Blank for bull/bear ELI<br>Initial upper strike price for range ELI |
| 29 | STRK_PR_L | Numeric 16 bytes 9(7).9(8) | Strike price for bull/bear ELI<br>Lower strike price for range ELI |
| 30 | STRK_PR_U | Numeric 16 bytes 9(7).9(8) | Blank for bull/bear ELI<br>Upper strike price for range ELI |
| 31 | STRK_PR_CUR | Character 3 bytes | Currency of ISTRK_PR_L, STRK_PR_L, ISTRK_PR_U and STRK_PR_U |
| 32 | AMT_OS | Numeric 15 bytes | Amount outstanding |

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 33 | AMT_OS_UNIT | Character 1 byte | Amount outstanding unit indicator U – AMT_OS is in units $ – AMT_OS is in dollars |
| 34 | AMT_OS_CUR | Character 3 bytes | Currency of AMT_OS |
| 35 | AMT_OS_DATE | Character 10 bytes | Amount outstanding as at date Format is YYYY/MM/DD |
| 36 | YIELD | Numeric 16 bytes 9(7).9(8) | Yield to payment date for ELI |
| 37 | PAY_DATE | Character 10 bytes | Payment date Format is YYYY/MM/DD |
| 38 | EXPIRY_DATE | Character 10 bytes | Expiry date Format is YYYY/MM/DD |
| 39 | PROTECTION | Character 12 bytes 9(3).9(8) | Protection Applicable to capital protected instruments (CPI) only |
| 40 | GUAR_AV_INT | Character 11 byte 9(2).9(8) | Guaranteed average interest in % Applicable to capital protected instruments (CPI) only |
| 41 | SHARES | Numeric 15 bytes | Number of underlying shares at (lower) strike price for ELI |
| 42 | UNDERLYING | Character 5 bytes | Stock code of underlying stock. Applicable to ELI/CPI with a single stock as underlying only. |
| 43 | CAS_IND | Character 1 byte | To indicate if Closing Auction Session (CAS) is applicable to the security "Y" – CAS applicable "N" – CAS not applicable |
| 44 | VCM_IND | Character 1 byte | To indicate if Volatility Control Mechanism (VCM) is applicable to the security "Y" – VCM applicable "N" – VCM not applicable |

## 6. Stock static data file – callable bull/bear contracts ("CBBC")

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 1 | STKCODE | Character 5 bytes | Code assigned to the stock. This code is not unique since codes assigned to delisted stocks can be re-used. |
| 2 | STK_ID | Character 9 bytes | Unique identifier assigned to the stock See Appendix 1 for details |
| 3 | DATE | Character 10 bytes | Date of the respective trading day.<br><br>Format is YYYY/MM/DD where<br>YYYY - year<br>MM - month<br>DD - day |
| 4 | FULL_NAME | Character 60 bytes | Full name of stock |
| 5 | SHORT_NAME | Character 15 bytes | Short name of stock |
| 6 | SE_TYPE | Character 4 bytes | Code assigned to indicate the type of securities See table in Appendix 2 for valid values |
| 7 | TRAD_CUR | Characters 3 bytes | Trading currency of stock |
| 8 | MARKET | Characters 1 byte | Market code. Possible values are :<br>'M' – Main Board<br>'G' – GEM |
| 9 | ISIN * | Characters 12 bytes | International Securities Identification Number |
| 10 | BOARD_LOT | Numeric 6 bytes | Board lot |
| 11 | LIST_DATE | Character 10 bytes | Listing date.<br>Format is YYYY/MM/DD<br>Blank if listing date is not available |
| 12 | FIRST_DATE | Character 10 bytes | First trading date<br>Format is YYYY/MM/DD |
| 13 | LAST_DATE | Character 10 bytes | Last trading date<br>Format is YYYY/MM/DD |
| 14 | DELIST_DATE | Character 10 bytes | Delisting date<br>Format is YYYY/MM/DD |
| 15 | SS_IND | Character 1 byte | To indicate if a designated stock for short selling<br>Y – Designated for short selling<br>N – Not designated for short selling |

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* The Stock Exchange of Hong Kong only assigns ISIN for securities of which the issuing companies are registered in Hong Kong. For other HK-listed securities of which the issuing companies are registered outside Hong Kong, the ISIN codes are being assigned and updated by the National Numbering Agencies or their substitute agencies of the corresponding countries. The Stock Exchange of Hong Kong collects the above information on best effort basis.

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 16 | SUSP_IND | Character 1 byte | To indicate if suspended for trading at the start of the day<br>Y – Suspended<br>N – Not suspended |
| 17 | SUSP_DATE | Character 10 bytes | The start date of the suspension if SUSP_IND = Y<br>Format is YYYY/MM/DD |
| 18 | BASKET_IND | Character 1 byte | To distinguish basket CBBC<br>Possible values are :<br>Y – basket CBBC<br>N – not basket CBBC |
| 19 | CBBC_TYPE | Character 2 bytes | CBBC type.  Possible values are:<br>01 – Bull<br>02 – Bear |
| 20 | SETTLE_TYPE | Character 1 byte | Settlement type<br>C – Cash<br>P – Physical |
| 21 | BD_LOT_NOM | Numeric 16 bytes 9(13).9(2) | Board lot nominal |
| 22 | BLN_CUR | Character 3 bytes | Currency of BD_LOT_NOM |
| 23 | AMT_ISSUED | Numeric 15 bytes | Amount issued in units |
| 24 | ISS_PR | Numeric 16 bytes 9(7).9(8) | Issue price |
| 25 | ISS_PR_CUR | Character 3 bytes | Currency of ISS_PR |
| 26 | ICALL_PR | Numeric 16 bytes 9(7).9(8) | Initial callable price |
| 27 | CALL_PR | Numeric 16 bytes 9(7).9(8) | Callable price |
| 28 | CALL_PR_CUR | Character 3 bytes | Currency of ICALL_PR and CALL_PR |
| 29 | ISTRK_PR | Numeric 16 bytes 9(7).9(8) | Initial strike price |
| 30 | STRK_PR | Numeric 16 bytes 9(7).9(8) | Strike price |
| 31 | STRK_PR_CUR | Character 3 bytes | Currency of ISTRK_PR and STRK_PR |
| 32 | AMT_OS | Numeric 15 bytes | Amount outstanding |

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 33 | AMT_OS_UNIT | Character 1 byte | Amount outstanding unit indicator<br>U – AMT_OS is in units<br>$ – AMT_OS is in dollars |
| 34 | AMT_OS_CUR | Character 3 bytes | Currency of AMT_OS |
| 35 | AMT_OS_DATE | Character 10 bytes | Amount outstanding as at date<br>Format is YYYY/MM/DD |
| 36 | PAY_DATE | Character 10 bytes | Payment date<br>Format is YYYY/MM/DD |
| 37 | EXPIRY_DATE | Character 10 bytes | Expiry date<br>Format is YYYY/MM/DD |
| 38 | CON_RATIO | Numeric 16 bytes 9(7).9(8) | Conversion ratio<br>Value is accurate to 3 decimal places<br>For index CBBC, conversion ratio refers to the number of contracts per entitlement, while<br>for equity CBBC, it refers to the number of shares entitled for 1 contract |
| 39 | UNDERLYING | Character 5 bytes | Stock code of underlying stock.<br>Applicable to CBBC with a single stock as underlying only. |
| 40 | CAS_IND | Character 1 byte | To indicate if Closing Auction Session (CAS) is applicable to the security<br>"Y" – CAS applicable<br>"N" – CAS not applicable |
| 41 | VCM_IND | Character 1 byte | To indicate if Volatility Control Mechanism (VCM) is applicable to the security<br>"Y" – VCM applicable<br>"N" – VCM not applicable |

## 7. Chinese name

| Item no. | Field name | Data type/ Maximum length | Description |
|---|---|---|---|
| 1 | STKCODE | Character 5 bytes | Code assigned to the stock. This code is not unique since codes assigned to delisted stocks can be re-used. |
| 2 | STK_ID | Character 9 bytes | Unique identifier assigned to the stock |
| 3 | DATE | Character 10 bytes | Date of the respective trading day.<br><br>Format is YYYY/MM/DD where<br>YYYY - year<br>MM    - month<br>DD     - day |
| 4 | CFULL NAME | Character 60 Chinese characters | Full name of stock in Chinese |
| 5 | CSHRT NAME | Character 30 Chinese characters | Short name of stock in Chinese |

## 8. Registrar data file

| Item no. | Field name | Layout | Description |
|---|---|---|---|
| 1 | REGCODE | Character 4 bytes | Code assigned to the registrar. |
| 2 | REGNAME | Character 120 bytes | Name of the registrar |
| 3 | ADDRESS | Character variable length | Address of the registrar |
| 4 | FAX_1 | Character 30 bytes | Fax number |
| 5 | FAX_2 | Character 30 bytes | Fax number |
| 6 | TEL_1 | Character 30 bytes | Telephone number |
| 7 | TEL_2 | Characters 30 bytes | Telephone number |

**APPENDIX 1**

**Unique Stock Identifier ("Stock ID")**

Stock ID is a unique stock identifier assigned to a stock of securities. The stock ID is essential because (i) it identifies the same company regardless of changes of the company name or changes of the Exchange designated stock code ("stock code"); and (ii) it distinguishes different companies with the same stock code.

EXAMPLES

*Same company with different company names*

| STOCK | STK_ID | STK_NAME |
|---|---|---|
| 00005 | **2034010** | The Hongkong & Shanghai Banking Corp Ltd |
| 00005 | **2034010** | HSBC Holdings plc |

*Different companies with the same stock code*

| STOCK | STK_ID | STK_NAME |
|---|---|---|
| **00016** | 2043010 | Jardine Securities Ltd |
| **00016** | 2133010 | Sun Hung Kai Properties Ltd |

*Same company with different stock codes and company names*

| STOCK | STK_ID | STK_NAME |
|---|---|---|
| 00206 | **2233010** | Cathay City Int'l Hldg Ltd |
| 00206 | **2233010** | MKI Corporation Ltd |
| 00433 | **2233010** | Sui Chong Holdings Ltd |

*Same company and company name with different stock codes*

| STOCK | STK_ID | STK_NAME |
|---|---|---|
| **00016** | 2133010 | Sun Hung Kai Properties Ltd |
| **00018** | 2133010 | Sun Hung Kai Properties Ltd |

**APPENDIX 2**

**Types of Securities**

| Code | Description |
|------|-------------|
| 0101 | Ordinary Shares |
| 0102 | Ordinary Shares    - Investment Company |
| 0103 | Ordinary Shares    - Depositary Receipts |
| 0104 | Ordinary Shares    - Stapled securities |
| 0201 | Preference Shares      - Ordinary Company |
| 0203 | Preference Shares      - Depositary Receipts |
| 0301 | Warrants    - Equity Warrants |
| 0302 | Warrants    - Equity Warrants Issued by Investment Company |
| 0303 | Warrants    - Derivative Warrants for Stock |
| 0304 | Warrants    - Derivative Warrants for Index |
| 0305 | Warrants    - Derivative Warrants for Currency |
| 0306 | Warrants    - Derivative Warrants for Mineral |
| 0307 | Equity Linked Instruments |
| 0308 | Callable Bull/Bear Contracts |
| 0401 | Debt Securities |
| 0501 | Unit Trusts |

**APPENDIX 3**

**HKEX's practice in updating the record of Number of Issued Shares of Hong Kong Listed Companies**

The number of issued shares provided in Stock Static Data is based on the record kept by HKEX which is updated with the following practices :

1. The movement of issued share capital is largely based on the monthly report submitted by the listed companies. In general, the listed companies submit the report not later than the 10th day of each month. The number of issued shares as at the end of the previous month is provided in the monthly report.

2. On receiving the monthly reports, HKEX starts updating the records which will usually have completed by the 15th day of the month

3. Points 1. and 2. imply that there is a time lag between the actual effective date of the new issued share capital and the date when the figure becomes available

4. In case of bonus or rights issues, the number of issued shares will be adjusted accordingly with effect from the ex-date

5. In case of share splits or share consolidations, the number of issued shares will be adjusted accordingly with effect from the effective date

6. Other capital changes such as placing shares, share subscription and consideration issues, etc., the number of issued shares will be updated only after the shares concerned have been issued and allotted to the shareholders.

**The number of issued shares of the NASDAQ stocks traded under the "Pilot Programme for Trading US Securities" is obtained from the NASDAQ website and provided for reference only**