

# **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 Securities Attribute Daily file  - Equity securities;  - Warrants;  - Debt securities;  - Unit trusts/mutual funds  - Equity linked instruments ("ELI")  - Callable bull/bear contracts ("CBBC")		
		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:  - exchange traded funds;  - leverage and inverse products;  - real estate investment trusts;  - other unit trusts/mutual funds		
		Add five reserved fields in warrants file		
6	2018-02-05	Update description of market code value 'G' Update HKEX company short name		
7	2018-08-07	Update the Type of Securities of Appendix 2, with effect from the issue of 03 Sep 2018:  i. 0501: Changed description from "Unit Trusts" to "Unit Trusts - Other Unit Trusts/Mutual Funds"  ii. 0502-504: Newly added		



8	2019-06-24	Update on following items with effect from the issue of 15 Jul 2019 i. Section 2 - renamed 5 fields from filler for introduction of inline warrants	
		- ISTR_PR_LOWER	
		- ISTR_PR_UPPER	
		- STR_PR_LOWER	
		- STR_PR_UPPER	
		- EXOTIC_TYPE  ii. Section 2 - maximum length of AMT_ISS and AMT_OS lengthened to 19 bytes  iii. Appendix 2 - Added new Type of Securities in 0310: Inline Warrants  iv. All sections - Maximum length of SHORT_NAME lengthened to 30 bytes	



9	2019-12-06	Update on following items with effect from the issue of 7 Jan 2020 i. Section 2 (warrants)	
		<ul> <li>Extend to cover Index, Currency, Commodity and other codes for UNDERLYING</li> </ul>	
		<ul> <li>Maximum length of UNDERLYING lengthened to 10 bytes</li> </ul>	
		<ul> <li>Update to actively provide Number of Warrants outstanding in the market under AMT_OS</li> </ul>	
		- Add UNDER_TYPE, UNDER_NAME and ISSUER_NAME as new fields ii. Section 3 (debt securities)	
		- Add ISSUER_NAME and INVESTOR_TYPE as new fields iii. Section 4 (ETF)	
		<ul> <li>Add ASSET_CLASS, REP_METHOD, UNDERLYING, UNDER_TYPE and UNDER_NAME as new fields</li> </ul>	
		iv. Section 5 (L&I Product)  - Add ASSET_CLASS, REP_METHOD, LEV_INV_FACTOR, UNDERLYING, UNDER_TYPE and UNDER_NAME as new fields v. Section 7 (other unit trusts/mutual funds)	
		- Add ASSET_CLASS as a new field vi. Section 9 (CBBC)	
		<ul> <li>Update to provide outstanding amount of CBBC in the market under AMT_OS</li> </ul>	
		<ul> <li>Extend to cover Index, Currency, Commodity and other codes for UNDERLYING</li> </ul>	
		<ul> <li>Maximum length of UNDERLYING lengthened to 10 bytes</li> </ul>	
		- Add new fields: UNDER_TYPE, UNDER_NAME ISSUER_NAME, CBBC_CAT and EXER_STYLE	
		vii. Sections 3 (debt securities), 4 (ETF), 5 (L&IP), 6 (REIT), 7 (other unit trusts/mutual funds) and 8 (ELI)	
		- Update description for AMT_OS	



10	2020-09-01	Update on following items due to Pre-Opening Session (POS) enhancement, with effect from the issue of 19 Oct 2020	
		Add POS indicator and VCM_PARAM in the following Securities Attribute Daily files	
		- Equity securities	
		- Warrants	
		- Debt securities	
		- Exchange traded funds ("ETF")	
		- Leveraged and inverse products ("L&I Products")	
		- Real estate investment funds("REIT")	
		- Other unit trusts/mutual funds	
		- Equity linked instruments("ELI")	
		- Callable bull/bear contracts ("CBBC")	
		Update on following item with effect immediately:	
		ii. Clarification added in the description for field "SUB_TO" under Warrants file	
11	2021-06-11	Update on following items with effect from the issue of 12 July 2021:	
		i. Section 1 - maximum length of AUTH_SH, IIS_SH,	
		and PAR lengthened to 20 bytes, ii. Sections 4, 5, 6, 7 - maximum length of AMT_OS	
		lengthened to 20 bytes	
12	2021-08-23	Update on following item with effect from the issue of 25 August 2021:	
40	0000 04 04	i. Section 1 – Update description of filed AUTH_SH	
13	2022-01-31	Update on following item due to introduction of SPAC Shares and Warrants and expansion of Volatility	
		Control Mechanism (VCM) applicable securities to	
		include Exchange Traded Products:	
		Add below possible values for data field  "VCM_PARAM" in the Securities Attribute Daily	
		files:	
		With immediate effect:	
		- '4' – 25%	
		- '5' – 30%	
		- '6' – 50% Effective from May 2022:	
		-'7' – 5%	
		I = J/U	



#### **Data structure**

Securities Attribute Daily Files (CSV Format) 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 Securities Attribute Daily Files are presented in 11 files:

- 1) Securities Attribute Daily file equity securities;
- 2) Securities Attribute Daily file warrants;
- 3) Securities Attribute Daily file debt securities
- 4) Securities Attribute Daily file exchange traded funds ("ETF")
- 5) Securities Attribute Daily file leveraged and inverse products ("L&I Product")
- 6) Securities Attribute Daily file real estate investment trusts ("REIT")
- 7) Securities Attribute Daily file other unit trusts/mutual funds
- 8) Securities Attribute Daily file equity linked instruments ("ELI")
- 9) Securities Attribute Daily file callable bull/bear contracts ("CBBC")
- 10) Securities Attribute Daily 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_ <i>yyyymmdd</i>	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_ <i>yyyymmdd</i>	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. Securities Attribute Daily file - equity securities

		Data type/ Maximum	
Item no.	Field name	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 30 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	Character 3 bytes	Trading currency of stock
8	MARKET	Character 1 byte	Market code. Possible values are : 'M' – Main Board 'G' – GEM
9	ISIN *	Character 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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<sup>\*</sup> 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 <u>outside</u> 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.



Maximum   length			Data type/	
SUSP_IND				
1 byte   start of the day   Y' - Suspended   N' - Not suspended   17	Item no.	Field name	length	Description
SUSP_DATE   Character 10 bytes   SUSP_IND = Y Format is YYYY/MM/DD	16	SUSP_IND	Character	To indicate if suspended for trading at the
SUSP_DATE   Character   10 bytes   SUSP_IND = Y   Format is YYYY/MM/DD   SUSP_IND = Y   Format is YYYY/MM/DD   Suspension if SUSP_IND = Y   Suspension if Suspension is Suspension if Suspension is Suspension if Suspension is Suspension if Suspension is Suspension if Suspension if Suspension is Suspension if Suspension is Suspension is Suspension if Suspension is Suspension if Suspension is Suspension if Suspension is Suspension is Suspension is Suspension if Suspension is Suspension if Suspension is Suspen			1 byte	
SUSP_DATE   Character 10 bytes   SUSP_IND = Y Format is YYYY/MW/DD				'Y' - Suspended
SUSP_DATE   Character 10 bytes   SUSP_IND = Y Format is YYYY/MW/DD				•
10 bytes	17	SUSP DATE	Character	
REGISTRAR		_	10 bytes	
REGISTRAR   Character   4 bytes   Refer to the registrar.   Refer to the registrar file for details			, , , , , , , , , , , , , , , , , , , ,	_
Second Part	18	REGISTRAR	Character	
FILLER  AUTH_SH  Numeric 1 byte  20 bytes  Par Subject 1 byte  Number of authorised / registered shares as at the end of the month This data item is not applicable to NASDAQ stocks  Number of issued shares  See Appendix 3 for the practice in updating the number of issued shares as at date  Pormat is YYYY/MM/DD  Numeric 15 bytes 15 byt				
1 byte   Numeric 20 bytes   Number of authorised / registered shares as at the end of the month This data item is not applicable to NASDAQ stocks	19	FILLER		
AUTH_SH				
20 bytes	20	AUTH SH		Number of authorised / registered shares
This data item is not applicable to NASDAQ stocks  Number of issued shares See Appendix 3 for the practice in updating the number of issued shares Num		7.66		
SS_SH   Numeric 20 bytes   Namber of issued shares   See Appendix 3 for the practice in updating the number of issued shares   Number of issued shares   See Appendix 3 for the practice in updating the number of issued shares				
ISS_SH				
20 bytes    See Appendix 3 for the practice in updating the number of issued shares	21	ISS SH	Numeric	
the number of issued shares  Character 10 bytes Format is YYYY/MM/DD  MARKET_CAP Numeric 15 bytes at the start of the day  EPS Numeric 15 bytes S9(5).9(8)  EPS_CUR Character 3 bytes  EPS_IND Character 1 byte 4 day.  PE_RATIO Numeric 1 bytes 9(4).9(2)  DPS_CUR Character 14 bytes 9(5).9(8)  DPS_CUR Character 15 bytes 9(4).9(2)  DPS_CUR Character 15 bytes 9(4).9(2)  PF_RATIO Numeric 14 bytes 9(5).9(8)  DPS_CUR Character 15 bytes 9(4).9(2)  DPS_CUR Character 15 bytes 9(5).9(8)  DPS_IND Character 15 bytes 9(5).9(8)  DPS_IND Character 15 bytes 9(5).9(8)  DPS_IND Character 15 bytes 9(4).9(2)  DPS_IND Character 15 bytes 9(4).9(2)  DPS_IND Character 15 bytes 9(4).9(2)  DPS_IND Character 15 bytes 9(7).9(12)  Dividend per shares 15 bytes 15 byte				
ISS_SH_DATE   Character 10 bytes   Number of issued shares as at date Format is YYYY/MMVDD				
10 bytes   Format is YYYY/MM/DD	22	ISS SH DATE	Character	
MARKET_CAP   Numeric   15 bytes   at the start of the day		100_011_57112		
24 EPS   Numeric   Earnings per shares.   EPS = 0 if N/A or negative earnings   S9(5).9(8)   Value is accurate to 4 decimal places    25 EPS_CUR   Character   3 bytes    26 EPS_IND   Character   1 byte    27 PE_RATIO   Numeric   7 bytes   9(4).9(2)    28 DPS   Numeric   14 bytes   9(5).9(8)    29 DPS_CUR   Character   1 byte    30 DPS_IND   Character   3 bytes    30 DPS_IND   Character   1 byte    31 YIELD   Numeric   1 byte   The DPS is an adjusted value    31 YIELD   Numeric   1 byte   The DPS is an adjusted value    32 PAR   Numeric   Numeric   Numeric   1 byte   The DPS is an adjusted value    33 PAR_CUR   Character   Survey   Survey   Survey   Survey   Survey    34 BAL_SH_DATE   Character   Balance sheet date    35 Di M/A or negative earnings    EARNING	23	MARKET CAP		
EPS   Numeric   15 bytes   S9(5).9(8)   Value is accurate to 4 decimal places   Value is accurate to 5 decimal places   Value	20	W   W   W   W   W   W   W   W   W   W		
15 bytes	24	FPS		·
S9(5).9(8) Value is accurate to 4 decimal places  Character 3 bytes  Character 1 byte  Character 1 byte  PE_RATIO				
25 EPS_CUR Character 3 bytes  26 EPS_IND Character 1 byte  27 PE_RATIO Numeric 7 bytes 9(4).9(2)  28 DPS Numeric 14 bytes 9(5).9(8)  29 DPS_CUR Character 3 bytes  30 DPS_IND Character 1 byte  31 YIELD Numeric 7 bytes 9(4).9(2)  28 PAR Numeric 20 bytes 9(4).9(2)  30 PAR_CUR Character 1 byte  31 YIELD Numeric 7 bytes 9(4).9(2)  32 PAR Numeric 20 bytes 9(7).9(12)  33 PAR_CUR Character 3 bytes  4 if the DPS is an adjusted value  5 Dividend yield as at the start of the day  7 value is accurate to 5 decimal places  8 Value is accurate to 5 decimal places  9 Value is accurate to 5 decimal places			•	
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EPS_IND   Character 1 byte   Second Period			3 bytes	
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9(7).9(12)  PAR_CUR Character 3 bytes  BAL_SH_DATE Character Balance sheet date			20 bytes	Value is accurate to 5 decimal places
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3 bytes  BAL_SH_DATE Character Balance sheet date	33	PAR_CUR		Currency of PAR
34 BAL_SH_DATE Character Balance sheet date				
	34	BAL_SH_DATE	<del></del>	Balance sheet date
ן ווע bytes   Format is Y Y Y //MIM/DU			10 bytes	Format is YYYY/MM/DD



		Data type/	
Item no.	Field name	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
44	POS_IND	Character 1 byte	To indicate if Pre-Opening Session (POS) is applicable to the security 'Y' – POS applicable 'N' – POS not applicable

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<sup>\*</sup> 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



Item no.	Field name	Data type/ Maximum length	Description
45	VCM_PARAM	Numeric 4 bytes	Indicate the +/- Trigger Level and Price Band within Cooling-off period of VCM '0' – VCM not applicable '1' – 10% '2' – 15% '3' – 20% '4' – 25%
			4 - 25% '5' - 30% '6' - 50% '7' - 5%



# 2. Securities Attribute Daily file - warrants

		Data type/	
		Maximum	
Item no.	Field name	length	Description
1	STKCODE	Character	Code assigned to the stock. This code is
		5 bytes	not unique since codes assigned to delisted
2	STK_ID	Character	stocks can be re-used.
2	מו_או פ	9 bytes	Unique identifier assigned to the stock See Appendix 1 for details
3	DATE	Character	Date of the respective trading day.
3	DAIL	10 bytes	Date of the respective trading day.
		10 5 9 100	Format is YYYY/MM/DD where
			YYYY - year
			MM - month
			DD - day
4	FULL_NAME	Character	Full name of stock
		60 bytes	
5	SHORT_NAME	Character	Short name of stock
	05 7) (05	30 bytes	
6	SE_TYPE	Character	Code assigned to indicate the type of
		4 bytes	securities
7	TRAD CUR	Character	See table in Appendix 2 for valid values  Trading currency of stock
,	TIXAD_COIX	3 bytes	Trading currency of stock
8	MARKET	Character	Market code. Possible values are :
		1 byte	'M' – Main Board
			'G' – GEM
9	ISIN*	Character	International Securities Identification
		12 bytes	Number
10	BOARD_LOT	Numeric	Board lot
		7 bytes	
11	LIST_DATE	Character	Listing date.
		10 bytes	Format is YYYY/MM/DD
12	FIRST DATE	Character	Blank if listing date is not available
12	LIKOI_DAIE	Character 10 bytes	First trading date Format is YYYY/MM/DD
13	LAST_DATE	Character	Last trading date
		10 bytes	Format is YYYY/MM/DD
14	DELIST_DATE	Character	Delisting date
	_	10 bytes	Format is YYYY/MM/DD
15	SS_IND	Character	To indicate if a designated stock for short
		1 byte	selling
			'Y' – Designated for short selling
			'N' – Not designated for short selling

<sup>\*</sup> 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 <u>outside</u> 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.



		Data type/	
Item no.	Field name	Maximum length	Description
16	SUSP_IND	Character	To indicate if suspended for trading at the
10	3031 _111D	1 byte	start of the day
		1 byte	'Y' - Suspended
			'N' – Not suspended
17	SUSP DATE	Character	The start date of the suspension if
	0005/112	10 bytes	SUSP_IND = 'Y'
			Format is YYYY/MM/DD
18	BASKET IND	Character	To distinguish basket warrants
	_	1 byte	Possible values are :
			'Y' – basket warrant
			'N' – not basket warrant
19	CALL_PUT	Character	To indicate call/put type
		1 byte	Possible values are :
			'C' – call
			'P' – Put
			'O' – Others
20	EXER_STYLE	Character	Exercise style
		1 byte	Possible values are :
			'A' – American
			'E' – European
21	SETTLE_TYPE	Character	Settlement type
		1 byte	'C' – Cash
			'P' – Physical
22	BD_LOT_NOM	Numeric	Board lot nominal
		16 bytes	
00	DIAL OUD	9(13).9(2)	C (DD LOT NOM
23	BLN_CUR	Character	Currency of BD_LOT_NOM
24	AMT ICC	3 bytes	Amountingual
24	AMT_ISS	Numeric	Amount issued
		19 bytes	
25	AMT_ISS_UNIT	9(15).9(3) Character	Amount issued unit indicator
25	AIVIT_ISS_UNIT	1 byte	'U' – in units
		1 Dyte	'\$' – in dollars
26	AMT_ISS_CUR	Character	Currency of AMT_ISS in dollars
20	7.W11_100_0010	3 bytes	Carrolley of 7 Wil _ loc in deliale
27	ISUB_PR	Numeric	Initial subscription price
	1005_110	16 bytes	Timudi Gabosiipiioii piioo
		9(7).9(8)	
28	ISUB_PR_CUR	Character	Currency of ISUB PR
		3 bytes	,,
29	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		19 bytes	Warrant outstanding in the market)
		9(15).9(3)	, ,
30	AMT_OS_UNIT	Character	Amount outstanding unit indicator
		1 byte	'U' – in units
			'\$' – in dollars
31	AMT_OS_CUR	Character	Currency of AMT_OS in dollars
		3 bytes	



		Data type/	
		Maximum	
Item no.	Field name	length	Description
32	AMT_OS_DATE	Character	Amount outstanding
		10 bytes	as at date Format is YYYY/MM/DD
33	SUB_PR	Numeric	Subscription price or strike level
		16 bytes	
		9(7).9(8)	
34	SUB_PR_CUR	Character 3 bytes	Currency of subscription price
35	SUB_PR_CF	Numeric	Capped/Floor subscription price/strike level
		16 bytes 9(7).9(8)	
36	SUB_RATIO	Numeric	Subscription ratio
		16 bytes	·
		9(7).9(8)	
37	SUB_RPU	Numeric	Subscription rights per unit
		16 bytes	
-00	OUD FDOM	9(7).9(8)	
38	SUB_FROM	Character 10 bytes	Subscription period – from (inclusive) Format is YYYY/MM/DD
39	SUB_TO	Character	Subscription period – to (inclusive) which is
		10 bytes	equivalent to the expiry date of the Warrant Format is YYYY/MM/DD
40	PREMIUM	Numeric	Premium as at the start of day Zero if N/A
		13 bytes	Value is accurate to 3 decimal places
		9(4).9(8)	9999.999 if the value overflows
41	UNDERLYING	Character	Corresponding code of underlying which
		10 bytes	could be stock code / index code / currency
			code / commodity code / other code. Refers to UNDER_TYPE for type of
			underlying.
			underlying.
42	UNDER TYPE	Character	To indicate the type of underlying. Possible
	_	2 bytes	values are :
			'03' – Equity
			'04' – Index
			'05' – Currency
			'06' – Commodity
40	LINDED MANAE	Ob	'99' – Others
43	UNDER_NAME	Character	Description of the corresponding
		100 bytes	underlying.
44	CAS_IND	Character	To indicate if Closing Auction Session
		1 byte	(CAS) is applicable to the security
			'Y' – CAS applicable
4.5	\/O14 INIT		'N' – CAS not applicable
45	VCM_IND	Character	To indicate if Volatility Control Mechanism
		1 byte	(VCM) is applicable to the security 'Y' – VCM applicable
			'N' – VCM not applicable
			14 VOINTHULAPPIIUADIG



		Data type/ Maximum	
Item no.	Field name	length	Description
46	ISTR_PR_LOWER	Numeric 16 bytes	Initial Lower Strike Price / Level
		9(7).9(8)	
47	ISTR_PR_UPPER	Numeric 16 bytes 9(7).9(8)	Initial Upper Strike Price / Level
48	STR_PR_LOWER	Numeric 16 bytes 9(7).9(8)	Lower Strike Price / Level
49	STR_PR_UPPER	Numeric 16 bytes 9(7).9(8)	Upper Strike Price / Level
50	EXOTIC_TYPE	Character 100 bytes	Exotic Type
51	ISSUER_NAME	Character 120 bytes	Full name of Issuer
52	POS_IND	Character 1 byte	To indicate if Pre-Opening Session (POS) is applicable to the security 'Y' – POS applicable 'N' – POS not applicable
53	VCM_PARAM	Numeric 4 bytes	Indicate the +/- Trigger Level and Price Band within Cooling-off period of VCM '0' – VCM not applicable '1' – 10% '2' – 15% '3' – 20% '4' – 25% '5' – 30% '6' – 50% '7' – 5%



# 3. Securities Attribute Daily file - debt securities

		Data type/ Maximum	
Item no.	Field name	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 30 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	Character 3 bytes	Trading currency of stock
8	MARKET	Character 1 byte	Market code. Possible values are : 'M' – Main Board 'G' – GEM
9	ISIN *	Character 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

<sup>\*</sup> 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 <u>outside</u> 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.



		Data type/	
		Maximum	
Item no.	Field name	length	Description
16	SUSP_IND	Character	To indicate if suspended for trading at the
		1 byte	start of the day
			'Y' – Suspended
			'N' – Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
		10 bytes	SUSP_IND = Y
			Format is YYYY/MM/DD
18	BD_LOT_NOM	Numeric	Board lot nominal
		16 bytes	
40	DIAL OUD	9(13).9(2)	O (DD LOT NOM
19	BLN_CUR	Character	Currency of BD_LOT_NOM
00	DD ANT	3 bytes	D: : I
20	PR_AMT	Numeric	Principal amount
24	DD AMT CUD	15 bytes	Currency of DD AMT
21	PR_AMT_CUR	Character	Currency of PR_AMT
22	AMT_RD_DATE	3 bytes Character	Date of amount raised
22	AWIT_ND_DATE	10 bytes	Format is YYYY/MM/DD
23	ISS_PR	Numeric	Issue price in %
20	100_1 10	16 bytes	133de price III 70
		9(7).9(8)	Weighted average of issue price in % if
		0(1).0(0)	have further issues with different issue price
24	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		15 bytes	debt securities outstanding in the market)
25	AMT_OS_CUR	Character	Currency of AMT_OS
		3 bytes	·
26	MATURITY	Character	Maturity date
		10 bytes	Format is YYYY/MM/DD
27	COUPON	Numeric	Interest rate / coupon rate in %.
		16 bytes	
	0.4.0. 11.15	9(7).9(8)	
28	CAS_IND	Character	To indicate if Closing Auction Session
		1 byte	(CAS) is applicable to the security
			'Y' – CAS applicable
20	VCM IND	Character	'N' – CAS not applicable
29	VCM_IND	Character	To indicate if Volatility Control Mechanism (VCM) is applicable to the security
		1 byte	'Y' – VCM applicable
			'N' – VCM not applicable
30	ISSUER NAME	Character	Full name of Issuer
		120 bytes	i all ridino di loddol
31	INVESTOR_TYP	Character	To indicate the type of debt securities.
	E	2 bytes	Possible values are:
		, , , , ,	'01' – Public
			'02' – Professional
32	POS_IND	Character	To indicate if Pre-Opening Session (POS)
	_	1 byte	is applicable to the security
		_	'Y' – POS applicable
			'N' – POS not applicable



Item no.	Field name	Data type/ Maximum length	Description
33	VCM_PARAM	Numeric 4 bytes	Indicate the +/- Trigger Level and Price Band within Cooling-off period of VCM '0' – VCM not applicable '1' – 10% '2' – 15% '3' – 20% '4' – 25% '5' – 30%
			'6' – 50% '7' – 5%



# 4. Securities Attribute Daily file - exchange traded funds ("ETF")

		Data type/	
Item no.	Field name	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 30 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	Character 3 bytes	Trading currency of stock
8	MARKET	Character 1 byte	Market code. Possible values are : 'M' – Main Board 'G' – GEM
9	ISIN *	Character 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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		Data tamal	
		Data type/ Maximum	
Item no.	Field name	length	Description
16	SUSP_IND	Character	To indicate if suspended for trading at the
10	303F_IND	1 byte	start of the day
		1 Dyte	'Y' – Suspended
			'N' – Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
	0005/112	10 bytes	SUSP_IND = 'Y'
		10 27100	Format is YYYY/MM/DD
18	FUND_MGR	Character	Fund manager
		120 bytes	
19	REGISTRAR	Character	Code of the trust registrar
		4 bytes	Refer to the registrar file for details
20	ORIG_PRICE	Numeric	Original offer price
		13 bytes	Value is accurate to 3 decimal places
		9(4).9(8)	
21	ORIG_PR_CUR	Character	Currency of ORIG_PRICE
		3 bytes	
22	LAUNCH_DATE	Character	Date launched
22	AMT OC	10 bytes Numeric	Format is YYYY/MM/DD
23	AMT_OS		Amount outstanding (Indicate the number of ETF outstanding in the market)
24	AMT_OS_UNIT	20 bytes Numeric	Amount outstanding unit indicator
24	AWII_OS_UNII	1 byte	'U' – AMT_OS is in units
		1 Dyte	'\$' – AMT_OS is in dollars
25	AMT_OS_CUR	Character	Currency of AMT_OS
		3 bytes	· · · · · · · · · · · · · · · · · · ·
26	AMT_OS_DATE	Character	Amount outstanding as at date
		10 bytes	Format is YYYY/MM/DD
27	DIST_PU	Numeric	Distribution per unit
		16 bytes	
		9(7).9(8)	
28	YIELD	Numeric	Yield
		16 bytes	
	OAO IND	9(7).9(8)	T : 1: 4 : (O) : 4 : (O
29	CAS_IND	Character	To indicate if Closing Auction Session
		1 byte	(CAS) is applicable to the security
			'Y' – CAS applicable
30	VCM_IND	Character	'N' – CAS not applicable  To indicate if Volatility Control Mechanism
30	V CIVI_IIND	1 byte	(VCM) is applicable to the security
		Toylo	'Y' – VCM applicable
			'N' – VCM not applicable
31	ASSET_CLASS	Character	To indicate the type of asset class. Possible
		4 bytes	values are :
			'0001' – Equity
			'0002' – Fixed Income
			'0003' – Money Market
			'0004' - Commodity
			'0005' - Multi-asset



		Data type/ Maximum	
Item no.	Field name	length	Description
32	REP_METHOD	Character 4 bytes	To indicate the replication method of the ETF. Possible values are: '0001' – Physical '0002' – Synthetic '0003' – Futures Based
33	UNDERLYING	Character 10 bytes	Corresponding code of underlying which could be stock code / index code / currency code / commodity code / other code. Refers to UNDER_TYPE for type of underlying.
34	UNDER_TYPE	Character 2 bytes	To indicate the type of underlying. Possible values are: '03' – Equity '04' – Index '05' – Currency '06' – Commodity '99' – Others
35	UNDER_NAME	Character 100 bytes	Description of the corresponding underlying.
36	POS_IND	Character 1 byte	To indicate if Pre-Opening Session (POS) is applicable to the security 'Y' – POS applicable 'N' – POS not applicable
37	VCM_PARAM	Numeric 4 bytes	Indicate the +/- Trigger Level and Price Band within Cooling-off period of VCM '0' – VCM not applicable '1' – 10% '2' – 15% '3' – 20% '4' – 25% '5' – 30% '6' – 50% '7' – 5%



# 5. Securities Attribute Daily file – leveraged and inverse products ("L&I Product")

		Data type/	
Item no.	Field name	Maximum	Description
1	STKCODE	Iength Character	Description  Code assigned to the stock. This code is
'	OTROODE	5 bytes	not unique since codes assigned to delisted
			stocks can be re-used.
2	STK_ID	Character	Unique identifier assigned to the stock
		9 bytes	See Appendix 1 for details
3	DATE	Character	Date of the respective trading day.
		10 bytes	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	Short name of stock
		30 bytes	
6	SE_TYPE	Character	Code assigned to indicate the type of
		4 bytes	securities
7	TDAD OUD	Observedor	See table in Appendix 2 for valid values
7	TRAD_CUR	Character 3 bytes	Trading currency of stock
8	MARKET	Character	Market code. Possible values are :
		1 byte	'M' – Main Board
0	IOIN! *	Character	'G' – GEM International Securities Identification
9	ISIN *	Character 12 bytes	Number
10	BOARD_LOT	Numeric	Board lot
	DO7(1(D_EO1	6 bytes	Board for
11	LIST_DATE	Character	Listing date.
		10 bytes	Format is YYYY/MM/DD
			Blank if listing date is not available
12	FIRST_DATE	Character	First trading date
13	LAST_DATE	10 bytes Character	Format is YYYY/MM/DD  Last trading date
13	LASI_DATE	10 bytes	Format is YYYY/MM/DD
14	DELIST_DATE	Character	Delisting date
		10 bytes	Format is YYYY/MM/DD
15	SS_IND	Character	To indicate if a designated stock for short
		1 byte	selling
			'Y' – Designated for short selling
			'N' – Not designated for short selling

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		Data type/	
14	Field name	Maximum	Description
Item no.	Field name	length	Description To indicate if even and adding at the
16	SUSP_IND	Character	To indicate if suspended for trading at the
		1 byte	start of the day 'Y' – Suspended
			'N' – Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
17	SUSP_DATE	10 bytes	SUSP_IND = 'Y'
		10 bytes	Format is YYYY/MM/DD
18	FUND_MGR	Character	Fund manager
10	I OND_WOR	120 bytes	i unu managei
19	REGISTRAR	Character	Code of the trust registrar
	TREGIOTIVITY	4 bytes	Refer to the registrar file for details
20	ORIG PRICE	Numeric	Original offer price
20	01110_111102	13 bytes	Value is accurate to 3 decimal places
		9(4).9(8)	value to accurate to a decirrial places
21	ORIG_PR_CUR	Character	Currency of ORIG_PRICE
		3 bytes	
22	LAUNCH DATE	Character	Date launched
	_	10 bytes	Format is YYYY/MM/DD
23	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		20 bytes	L&IP outstanding in the market)
24	AMT_OS_UNIT	Numeric	Amount outstanding unit indicator
		1 byte	'U' – AMT_OS is in units
			'\$' - AMT_OS is in dollars
25	AMT_OS_CUR	Character	Currency of AMT_OS
		3 bytes	
26	AMT_OS_DATE	Character	Amount outstanding as at date
		10 bytes	Format is YYYY/MM/DD
27	DIST_PU	Numeric	Distribution per unit
		16 bytes	
	<u> </u>	9(7).9(8)	
28	YIELD	Numeric	Yield
		16 bytes	
	0.4.0. INID	9(7).9(8)	T : 11 + 16 O : 4 + 11 O :
29	CAS_IND	Character	To indicate if Closing Auction Session
		1 byte	(CAS) is applicable to the security
			'Y' – CAS applicable
20	VCM IND	Character	'N' – CAS not applicable
30	VCM_IND	Character	To indicate if Volatility Control Mechanism
		1 byte	(VCM) is applicable to the security 'Y' – VCM applicable
			'N' – VCM applicable
31	ASSET_CLASS	Character	To indicate the type of asset class. Possible
	AUUL I_ULAUU	4 bytes	values are :
		T Dyles	'0001' – Equity
			'0002' – Equity
			'0003' – Money Market
			'0004' – Commodity
			'0005' – Multi-asset
L		1	



Item no.	Field name	Data type/ Maximum length	Description
32	REP_METHOD	Character 4 bytes	To indicate the replication method of the L&I Product. Possible values are: '0001' – Futures Based '0002' – Swap Based
33	LEV_INV_FACT OR	Numeric 2 bytes	To indicate the corresponding leverage / inverse factor
34	UNDERLYING	Character 10 bytes	Corresponding code of underlying which could be stock code / index code / currency code / commodity code / other code. Refers to UNDER_TYPE for type of underlying.
35	UNDER_TYPE	Character 2 bytes	To indicate the type of underlying. Possible values are: '03' – Equity '04' – Index '05' – Currency '06' – Commodity '99' – Others
36	UNDER_NAME	Character 100 bytes	Description of the corresponding underlying.
37	POS_IND	Character 1 byte	To indicate if Pre-Opening Session (POS) is applicable to the security 'Y' – POS applicable 'N' – POS not applicable
38	VCM_PARAM	Numeric 4 bytes	Indicate the +/- Trigger Level and Price Band within Cooling-off period of VCM '0' – VCM not applicable '1' – 10% '2' – 15% '3' – 20% '4' – 25% '5' – 30% '6' – 50% '7' – 5%



# 6. Securities Attribute Daily file - real estate investment trusts ("REIT")

		Data type/	
Item no.	Field name	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 30 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	Character 3 bytes	Trading currency of stock
8	MARKET	Character 1 byte	Market code. Possible values are : 'M' – Main Board 'G' – GEM
9	ISIN *	Character 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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		Data type/	
		Maximum	
Item no.	Field name	length	Description
16	SUSP_IND	Character	To indicate if suspended for trading at the
		1 byte	start of the day
			'Y' – Suspended
4-	OLIOD DATE		'N' – Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
		10 bytes	SUSP_IND = Y
18	FUND_MGR	Character	Format is YYYY/MM/DD Fund manager
10	FUND_MGK	120 bytes	Fulld manager
19	REGISTRAR	Character	Code of the trust registrar
19	INLUISTRAIN	4 bytes	Refer to the registrar file for details
20	ORIG_PRICE	Numeric	Original offer price
20	ONIO_I NIOL	13 bytes	Value is accurate to 3 decimal places
		9(4).9(8)	value le decurate te e decimal places
21	ORIG_PR_CUR	Character	Currency of ORIG_PRICE
		3 bytes	
22	LAUNCH DATE	Character	Date launched
		10 bytes	Format is YYYY/MM/DD
23	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		20 bytes	REIT outstanding in the market)
24	AMT_OS_UNIT	Numeric	Amount outstanding unit indicator
		1 byte	'U' – AMT_OS is in units
			'\$' – AMT_OS is in dollars
25	AMT_OS_CUR	Character	Currency of AMT_OS
		3 bytes	
26	AMT_OS_DATE	Character	Amount outstanding as at date
		10 bytes	Format is YYYY/MM/DD
27	DIST_PU	Numeric	Distribution per unit
		16 bytes	
	\/IEI B	9(7).9(8)	Nr. 11
28	YIELD	Numeric	Yield
		16 bytes	
20	CACIND	9(7).9(8)	To indicate if Clasing Austion Cossion
29	CAS_IND	Character 1 byte	To indicate if Closing Auction Session
		1 Dyte	(CAS) is applicable to the security 'Y' – CAS applicable
			'N' – CAS applicable 'N' – CAS not applicable
30	VCM_IND	Character	To indicate if Volatility Control Mechanism
	V OIVI_II VD	1 byte	(VCM) is applicable to the security
			'Y' – VCM applicable
			'N' – VCM not applicable
31	POS_IND	Character	To indicate if Pre-Opening Session (POS)
		1 byte	is applicable to the security
			'Y' - POS applicable
			'N' - POS not applicable



Item no.	Field name	Data type/ Maximum length	Description
32	VCM_PARAM	Numeric 4 bytes	Indicate the +/- Trigger Level and Price Band within Cooling-off period of VCM '0' – VCM not applicable '1' – 10% '2' – 15% '3' – 20% '4' – 25% '5' – 30% '6' – 50% '7' – 5%



# 7. Securities Attribute Daily file - other unit trusts/mutual funds

		Data type/ Maximum	
Item no.	Field name	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 30 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	Character 3 bytes	Trading currency of stock
8	MARKET	Character 1 byte	Market code. Possible values are : 'M' – Main Board 'G' – GEM
9	ISIN *	Character 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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		Data turnal	
		Data type/ Maximum	
Item no.	Field name	length	Description
16	SUSP_IND	Character	To indicate if suspended for trading at the
		1 byte	start of the day
			'Y' - Suspended
			'N' - Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
		10 bytes	SUSP_IND = 'Y'
			Format is YYYY/MM/DD
18	FUND_MGR	Character	Fund manager
10	DECICED A D	120 bytes	
19	REGISTRAR	Character	Code of the trust registrar
20	ODIC DDICE	4 bytes	Refer to the registrar file for details
20	ORIG_PRICE	Numeric	Original offer price
		13 bytes 9(4).9(8)	Value is accurate to 3 decimal places
21	ORIG_PR_CUR	Character	Currency of ORIG_PRICE
21	OKIO_I IX_OOK	3 bytes	ouncies of Ortio_1 RioL
22	LAUNCH_DATE	Character	Date launched
		10 bytes	Format is YYYY/MM/DD
23	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		20 bytes	other unit trusts/mutual funds outstanding in
		-	the market)
24	AMT_OS_UNIT	Numeric	Amount outstanding unit indicator
		1 byte	'U' – AMT_OS is in units
			'\$' – AMT_OS is in dollars
25	AMT_OS_CUR	Character	Currency of AMT_OS
00	ANT OO DATE	3 bytes	Assessment and the self-self-self-self-self-self-self-self-
26	AMT_OS_DATE	Character	Amount outstanding as at date Format is YYYY/MM/DD
27	DIST_PU	10 bytes Numeric	Distribution per unit
21	DI31_F0	16 bytes	Distribution per unit
		9(7).9(8)	
28	YIELD	Numeric	Yield
		16 bytes	
		9(7).9(8)	
29	CAS_IND	Character	To indicate if Closing Auction Session
		1 byte	(CAS) is applicable to the security
			'Y' – CAS applicable
		1	'N' – CAS not applicable
30	VCM_IND	Character	To indicate if Volatility Control Mechanism
		1 byte	(VCM) is applicable to the security
			'Y' – VCM applicable 'N' – VCM not applicable
31	ASSET_CLASS	Character	To indicate the type of asset class. Possible
	AUUL I_ULAUU	4 bytes	values are :
		- Dylos	'0001' – Equity
			'0002' – Fixed Income
			'0003' – Money Market
			'0004' – Commodity
			'0005' - Multi-asset



Item no.	Field name	Data type/ Maximum length	Description
32	POS_IND	Character 1 byte	To indicate if Pre-Opening Session (POS) is applicable to the security 'Y' – POS applicable 'N' – POS not applicable
33	VCM_PARAM	Numeric 4 bytes	Indicate the +/- Trigger Level and Price Band within Cooling-off period of VCM '0' – VCM not applicable '1' – 10% '2' – 15% '3' – 20% '4' – 25% '5' – 30% '6' – 50% '7' – 5%



# 8. Securities Attribute Daily file - equity linked instruments

ltom no	Field wares	Data type/ Maximum	Description
Item no.	Field name	length	Description
1	STKCODE	Character	Code assigned to the stock. This code is
		5 bytes	not unique since codes assigned to delisted
	CTI/ ID	Ob a sa ata s	stocks can be re-used.
2	STK_ID	Character	Unique identifier assigned to the stock
	DATE	9 bytes	See Appendix 1 for details
3	DATE	Character	Date of the respective trading day.
		10 bytes	Format is YYYY/MM/DD where
			YYYY - year
			MM - month
			DD - day
4	FULL_NAME	Character	Full name of stock
"	I OLL_IVIUL	60 bytes	1 dil fiamo di stock
5	SHORT_NAME	Character	Short name of stock
	OHORKI_HAME	30 bytes	Short hame of stock
6	SE TYPE	Character	Code assigned to indicate the type of
	_	4 bytes	securities
			See table in Appendix 2 for valid values
7	TRAD CUR	Character	Trading currency of stock
	_	3 bytes	,
8	MARKET	Character	Market code. Possible values are:
		1 byte	'M' – Main Board
			'G' – GEM
9	ISIN *	Character	International Securities Identification
		12 bytes	Number
10	BOARD_LOT	Numeric	Board lot
		6 bytes	
11	LIST_DATE	Character	Listing date.
		10 bytes	Format is YYYY/MM/DD
			Blank if listing date is not available
12	FIRST_DATE	Character	First trading date
		10 bytes	Format is YYYY/MM/DD
13	LAST_DATE	Character	Last trading date
	DELIGE SATE	10 bytes	Format is YYYY/MM/DD
14	DELIST_DATE	Character	Delisting date
45	00 110	10 bytes	Format is YYYY/MM/DD
15	SS_IND	Character	To indicate if a designated stock for short
		1 byte	selling
			'Y' – Designated for short selling
			'N' – Not designated for short selling

<sup>\*</sup> 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 <u>outside</u> 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.



		Data type/	
14		Maximum	
Item no.	Field name	length	Description
16	SUSP_IND	Character	To indicate if suspended for trading at the
		1 byte	start of the day
			'Y' – Suspended
	01100 0175		'N' – Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
		10 bytes	SUSP_IND = 'Y'
	<u> </u>	1	Format is YYYY/MM/DD
18	BASKET_IND	Character	To distinguish basket ELI
		1 byte	Possible values are :
			'Y' – basket ELI
	<u> </u>	<u> </u>	'N' – not basket ELI
19	ELI_TYPE	Character	ELI type. Possible values are:
		2 bytes	'01' – Bull
			'02' – Bear
	<u> </u>	1	'03' – Range
20	SETTLE_TYPE	Character	Settlement type
		1 byte	'C' – Cash
			'P' – Physical
21	AMT_ISSUED	Numeric	Amount issued in units
		15 bytes	
22	ISS_PR	Numeric	Issue price
		16 bytes	
		9(7).9(8)	
23	ISS_PR_CUR	Character	Currency of ISS_PR
		3 bytes	
24	PAR	Numeric	Par value
		16 bytes	
	<u> </u>	9(7).9(8)	
25	PAR_CUR	Character	Currency of PAR
	<del>                                     </del>	3 bytes	
26	PAR_BD_LOT	Numeric	Par value per board lot for ELI
		16 bytes	
	1.0001/.000	9(13).9(2)	
27	ISTRK_PR_L	Numeric	Initial strike price for bull/bear ELI
		16 bytes	Initial lower strike price for range ELI
	<u> </u>	9(7).9(8)	
28	ISTRK_PR_U	Numeric	Blank for bull/bear ELI
		16 bytes	Initial upper strike price for range ELI
		9(7).9(8)	
29	STRK_PR_L	Numeric	Strike price for bull/bear ELI
		16 bytes	Lower strike price for range ELI
		9(7).9(8)	
30	STRK_PR_U	Numeric	Blank for bull/bear ELI
		16 bytes	Upper strike price for range ELI
		9(7).9(8)	
31	STRK_PR_CUR	Character	Currency of ISTRK_PR_L, STRK_PR_L,
		3 bytes	ISTRK_PR_U and STRK_PR_U
32	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		15 bytes	ELI outstanding in the market)



		Data type/	
Item no.	Field name	Maximum length	Description
33	AMT_OS_UNIT	Character	Amount outstanding unit indicator
	7	1 byte	'U' – AMT_OS is in units
			'\$' - AMT_OS is in dollars
34	AMT_OS_CUR	Character	Currency of AMT_OS
		3 bytes	
35	AMT_OS_DATE	Character	Amount outstanding as at date
00	VIELD	10 bytes	Format is YYYY/MM/DD
36	YIELD	Numeric	Yield to payment date for ELI
		16 bytes 9(7).9(8)	
37	PAY_DATE	Character	Payment date
	' ' '   _     ' ' '	10 bytes	Format is YYYY/MM/DD
38	EXPIRY_DATE	Character	Expiry date
		10 bytes	Format is YYYY/MM/DD
39	PROTECTION	Character	Protection
		12 bytes	Applicable to capital protected instruments
40	OLIAB AV INT	9(3).9(8)	(CPI) only
40	GUAR_AV_INT	Character	Guaranteed average interest in %
		11 byte 9(2).9(8)	Applicable to capital protected instruments (CPI) only
41	SHARES	Numeric	Number of underlying shares at (lower)
-	OFIAILO	15 bytes	strike price for ELI
42	UNDERLYING	Character	Stock code of underlying stock.
		5 bytes	Applicable to ELI/CPI with a single stock as
		,	underlying only.
43	CAS_IND	Character	To indicate if Closing Auction Session
		1 byte	(CAS) is applicable to the security
			'Y' – CAS applicable
44	VCM_IND	Character	'N' – CAS not applicable  To indicate if Volatility Control Mechanism
44	V CIVI_IIND	1 byte	(VCM) is applicable to the security
		1 Dyto	'Y' – VCM applicable
			'N' - VCM not applicable
45	POS_IND	Character	To indicate if Pre-Opening Session (POS)
		1 byte	is applicable to the security
			'Y' - POS applicable
40	\/O14 BABAIA		'N' – POS not applicable
46	VCM_PARAM	Numeric	Indicate the +/- Trigger Level and Price
		4 bytes	Band within Cooling-off period of VCM
			'0' – VCM not applicable '1' – 10%
			'2' – 15%
			'3' – 20%
			'4' – 25%
			'5' <b>–</b> 30%
			'6' – 50%
			'7' – 5%



# 9. Securities Attribute Daily file - callable bull/bear contracts ("CBBC")

		Data type/	
Item no.	Field name	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 30 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	Character 3 bytes	Trading currency of stock
8	MARKET	Character 1 byte	Market code. Possible values are : 'M' – Main Board 'G' – GEM
9	ISIN *	Character 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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<sup>\*</sup> 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 <u>outside</u> 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.



		Data type/ Maximum	
Item no.	Field name	length	Description
16	SUSP IND	Character	To indicate if suspended for trading at the
	000	1 byte	start of the day
			'Y' – Suspended
			'N' - Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
	_	10 bytes	SUSP IND = 'Y'
			Format is YYYY/MM/DD
18	BASKET_IND	Character	To distinguish basket CBBC
		1 byte	Possible values are :
			'Y' – basket CBBC
			'N' – not basket CBBC
19	CBBC_TYPE	Character	CBBC type. Possible values are:
		2 bytes	'01' – Bull
			'02' – Bear
20	SETTLE_TYPE	Character	Settlement type
		1 byte	'C' – Cash
			'P' – Physical
21	BD_LOT_NOM	Numeric	Board lot nominal
		16 bytes	
		9(13).9(2)	
22	BLN_CUR	Character	Currency of BD_LOT_NOM
		3 bytes	
23	AMT_ISSUED	Numeric	Amount issued in units
		15 bytes	
24	ISS_PR	Numeric	Issue price
		16 bytes	
		9(7).9(8)	
25	ISS_PR_CUR	Character	Currency of ISS_PR
		3 bytes	
26	ICALL_PR	Numeric	Initial callable price
		16 bytes	
		9(7).9(8)	
27	CALL_PR	Numeric	Callable price
		16 bytes	
	OALL DD OLD	9(7).9(8)	
28	CALL_PR_CUR	Character	Currency of ICALL_PR and CALL_PR
00	IOTOK DD	3 bytes	Lattia Lattia and a
29	ISTRK_PR	Numeric	Initial strike price
		16 bytes	
20	CTDV DD	9(7).9(8)	Ctrike price
30	STRK_PR	Numeric	Strike price
		16 bytes	
24	CTDV DD CUD	9(7).9(8)	Currency of ICTDI/ DD and CTDI/ DD
31	STRK_PR_CUR	Character	Currency of ISTRK_PR and STRK_PR
22	AMT OC	3 bytes	Amount outstanding (Indicate the number of
32	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		15 bytes	CBBC outstanding in the market)



		Data type/ Maximum	
Item no.	Field name	length	Description
33	AMT OS UNIT	Character	Amount outstanding unit indicator
33	AWIT_OS_OWIT	1 byte	'U' – AMT_OS is in units
		1 Dyte	'\$' – AMT_OS is in dollars
34	AMT_OS_CUR	Character	Currency of AMT_OS
		3 bytes	, <u> </u>
35	AMT_OS_DATE	Character	Amount outstanding
		10 bytes	as at date
200	DAY DATE	Character	Format is YYYY/MM/DD
36	PAY_DATE	Character 10 bytes	Payment date Format is YYYY/MM/DD
37	EXPIRY_DATE	Character	Expiry date
31	LXI IIXI_DXIL	10 bytes	Format is YYYY/MM/DD
38	CON_RATIO	Numeric	Conversion ratio
		16 bytes	Value is accurate to 3 decimal places
		9(7).9(8)	For index CBBC, conversion ratio refers to
			the number of contracts per entitlement,
			while
			for equity CBBC, it refers to the number of
			shares entitled for 1 contract
39	UNDERLYING	Character	Corresponding code of underlying which
		10 bytes	could be stock code / index code / currency
			code / commodity code / other codeRefers
40	LINDED TYPE	Character	to UNDER_TYPE for type of underlying.
40	UNDER_TYPE	Character	To indicate the type of underlying. Possible values are :
		2 bytes	'03' – Equity
			'04' – Index
			'05' – Currency
			'06' – Commodity
			'99' – Others
41	UNDER_NAME	Character	Description of the corresponding
		100 bytes	underlying.
	0.00 1115		
42	CAS_IND	Character	To indicate if Closing Auction Session
		1 byte	(CAS) is applicable to the security
			'Y' – CAS applicable 'N' – CAS not applicable
43	VCM_IND	Character	To indicate if Volatility Control Mechanism
45	VOIVI_IIVD	1 byte	(VCM) is applicable to the security
		. 2713	'Y' – VCM applicable
			'N' – VCM not applicable
44	ISSUER_NAME	Character	Full name of Issuer
		120 bytes	
45	CBBC_CAT	Character	To indicate if Residual value is applicable to
		1 byte	the CBBC
			'R' – No residual value
40	EVED OT " E		'N' – With residual value
46	EXER_STYLE	Character	CBBC Exercise style. Possible values are:
		1 byte	'A' – American
			'E' – European



Item no.	Field name	Data type/ Maximum length	Description
47	POS_IND	Character 1 byte	To indicate if Pre-Opening Session (POS) is applicable to the security 'Y' – POS applicable 'N' – POS not applicable
48	VCM_PARAM	Numeric 4 bytes	Indicate the +/- Trigger Level and Price Band within Cooling-off period of VCM '0' – VCM not applicable '1' – 10% '2' – 15% '3' – 20% '4' – 25% '5' – 30% '6' – 50% '7' – 5%



# 10. 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.  Format is YYYY/MM/DD where YYYY - year MM - month 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

# 11. 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	Character 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
0310	Inline Warrants
0401	Debt Securities
0501	Unit Trusts - Other Unit Trusts/Mutual Funds
0502	Unit Trusts - Exchange Traded Funds
0503	Unit Trusts - Real Estate Investment Trusts
0504	Unit Trusts - Leveraged and Inverse Products



#### **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 Securities Attribute Daily Files 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