

Updating history

No.	Issue Date	Details
1	2020-01-06	First issue

Data structure

Securities Master File (to-be-listed) in JavaScript Object Notation (.json) format is available before trading commences to provide the latest information on to-be-listed securities eligible for trading on the day after next trading day. It also covers securities with temporary or multiple counters where the first trading date is on the day after next trading day.

The securities list and attributes in this file are based on the latest information obtained when the file is generated. As there may be changes before the listing date, updated information will be reflected on Securities Master File.

File name : ssd_mb_gem_yyyymmdd

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 8 bytes	Date of the trading day. Format is YYYYMMDD where YYYY - year MM - month DD - day
4	ISIN *	Characters 12 bytes	International Securities Identification Number **
5	SHORT_NAME	Character 30 bytes	Short name of stock
6	FULL_NAME	Character 60 bytes	Full name of stock
7	TYPE	Character 2 bytes	Code assigned to indicate the type of securities See table in Appendix 2 for valid values
8	PREV_CLOSE	Numeric 8 bytes 9(4).9(3)	The closing price of the stock on the previous trading day Display as “0.000” as PREV_CLOSE is not applicable
9	BOARD_LOT	Numeric 6 bytes	Board lot
10	TRAD_CUR	Characters 3 bytes	Trading currency of stock

** 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
11	CUR_UNIT *	Numeric 1 byte	Unit of the trading currency. Possible values are : 0 – 1 1 – 10 2 – 100 3 – 1000, etc.
12	SPREAD *	Character 2 bytes	Spread table applied to the stock *Refer to the Spread Table under Second Schedule of Rules of the Exchanges .
13	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
14	AM_IND *	Character 1 byte	To indicate if eligible for auto-matching “Y” – Automatch stock “N” – Non-automatch stock
15	CCASS_IND *	Character 1 byte	To indicate if admitted to Central Clearing and Settlement System (CCASS) “Y” – Admitted to CCASS “N” – Not admitted to CCASS
16	SUSP_IND *	Character 1 byte	To indicate if suspended for trading at market open
17	STPDUTY_IND *	Character 1 byte	Stamp duty indicator
18	ISS_SH	Numeric 12 bytes	Number of issued shares based on the listing documents submitted by Issuer
19	MARKET	Character 4 bytes	“MAIN” – Main Board “GEM” – Growth Enterprise Market
20	HSI_IND *	Character 1 byte	To indicate if a constituent stock of Hang Seng Index (HSI) “Y” – An HSI constituent “N” – Not an HSI constituent
21	HKL_IND *	Character 1 byte	To indicate if a constituent stock of S&P/HKEX LargeCap Index (HKL) “Y” – An HKL constituent “N” – Not an HKL constituent
		Characters 5 byte	Reserved
22	GEM_IND *	Character 1 byte	To indicate if a constituent stock of S&P/HKEX GEM Index (GEM) “Y” – A GEM constituent “N” – Not a GEM constituent
23	H_SHR_IND *	Character 1 byte	To indicate H Shares “Y” – An H-Shares “N” – Not an H-Shares

Item no.	Field name	Data type/ Maximum length	Description
24	RCHIP_IND *	Character 1 byte	To indicate Red-chips “Y” – Classified as red-chips “N” – Not classified as red chips See Appendix 3 for the definition of red-chips
25	CAS_IND *	Character 1 byte	Indicates whether Closing Auction Session (CAS) is applicable to the security “Y” – CAS applicable “N” – CAS not applicable
26	VCM_IND *	Character 1 byte	Indicates whether Volatility Control Mechanism (VCM) is applicable to the security “Y” – VCM applicable “N” – VCM not applicable

* Blank if the attribute is not yet available before the trading date

JSON Schema

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```

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]  
}  
]
```

* HKM_IND, HKS_IND, RESERVE1 are served as reserved fields

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
01	Ordinary Shares
02	Preference Shares
03	Equity Warrants
04	Debt Securities
05	Unit Trusts
06	Rights
07	Equity Linked Instruments
08	Callable Bull/Bear Contracts
09	Derivatives Warrants
10	Inline Warrants

APPENDIX 3

Definition of red-chips

A company is deemed to be a China-controlled company (Red Chip), if

- (1) The company has at least 30% shareholding held in aggregate directly by Mainland China entities, and/or through companies which are controlled by Mainland China entities. Or
- (2) The company has below 30% but 20% or above shareholding held in aggregate directly by Mainland China entities, and/or through companies which are controlled by Mainland China entities and, there is a strong influential presence, on a judgmental basis, on the company's board of directors.

Mainland China entities include state-owned organisations and entities controlled by provincial or municipal authorities.