Procedure to Submit Sample Data to the Federation for Testing Data Conformity

- 1. To prepare yourselves for the real life situation, you should simulate as close and realistic as possible by generating the sample data using your existing equipment, platform and arrangements.
- 2. Prepare two test data files with the following File IDs:
 - (a) for the single cheque case (see 5.i. in the *Operational Procedures for eIPO Applications submitted via Banks/Stockbrokers*), set the File ID to "001"; hereinafter referred as "File 1"
 - (b) for the multiple cheques case (see 5.ii. in the *Operational Procedures for eIPO Applications submitted via Banks/Stockbrokers*), set the File ID to "002"; hereinafter referred as "File 2"

The data must be in English and in capital letters. Set eIPO Service Provider ID to "12345". Filenames should be in the following format:

nnnnnfff.txt where
$$nnnnn = eIPO$$
 Service Provider ID; and $fff = File$ ID

For the present testing environment, the filenames should then be 12345001.txt for File 1 and 12345002.txt for File 2.

Assign "00005" as the stock code. Value per share is \$2.81, brokerage is 1%, Stock Exchange trading fee is 0.005% and SFC transaction levy is 0.003%. Valid application levels and monies are set out in Appendix F. Please refer to Appendix A for general guideline on test cases.

- 3. After you have generated the above two data files, submit the following to the Federation of Share Registrars Limited at Level 54, Hopewell Centre, 183 Queen's Road East, Hong Kong for the attention of the Honorary Secretary:
 - a completed eIPO Service Provider Data Conformity Testing Submission Form (see Appendix B)
 - a completed eIPO Applications Submission Form (see Appendix C)

- a Summary of eIPO Applications (see Appendix D) for File 1 and another one for File 2
- a List of Applicants (Multiple Cheques) (see Appendix E) for File 2
- for those of you who want to use the Electronic Channel, send File 1 by email and File 2 on CD-ROM
- for those of you who do not want to use the Electronic Channel, send both Files 1 and 2 on CD-ROMs

Use indelible ink to mark the filename on the CD-ROM. For testing purposes, it is not necessary to submit consolidated application forms and cheques. For enquiries, please send email to fedsrltd@hk.tricorglobal.com.

4. For those who use the Electronic Channel, you have to compress File 1 by WinZip and send it as an attachment via email to fedsrltd@hk.tricorglobal.com. The filename should remain the same but the extension should be changed from "txt" to "zip". Type "eIPO" in the subject line of the email.

Please limit the no. of records contained in a data file to 10,000 with a minimum of 1,000.

5. The Federation will acknowledge receipt of your application within 1 day by fax or email as the case may be. The testing process will take two weeks.

* * * * *

Appendix A – General Guideline on Test Cases

- 1. A file should consist of:
 - Both white and yellow forms (you need to input CCASS Participant ID for yellow forms)
 - Both individual and corporate applicants (for individuals, family name must come first)
 - Some applications with joint applicants
 - Some applications with more than 1 line of name
 - Some applications with more than 1 line of address
 - Some applications with Beneficial Owner Code (i.e. those applications using a nominee account to hold the shares)
- 2. Broker Code and CCASS Participant ID must be genuine.
- 3. Generate some records that use up the maximum field length of each data item.
- 4. Summary of eIPO Applications and List of Applicants (Multiple Cheques) should have at least 2 pages.

Appendix B – eIPO Service Provider Data Conformity Testing Submission Form

FEDERATION OF SHARE REGISTRARS LIMITED



Registered Office – Level 54, Hopewell Centre, 183 Queen's Road East, Wanchai, Hong Kong Tel: 2980 1735 Fax: 2861 1465

證券登記公司總會有限公司

eIPO Service Provider Data Conformity Testing Submission Form

Name of Applicant	:		
Bank / Broker Code	:		
Correspondence Address	:		
Business Registration No.	:	·	
Authorized Signature	:		
Date of Submission	:		
Name of Contact Person	:		
Telephone No.	:		
Email	:		
Fax No.	:		
(F	or Use by the Federation of Share Registrars Limi	ted only)	
Tested OK by :	Name of Registrar & Authorized Signature	Date :	
Tested OK by :	Name of Registrar & Authorized Signature Date :		
Tested OK by :	Name of Registrar & Authorized Signature Date :		
Tested OK by :	Name of Registrar & Authorized Signature Date :		
Tested OK by :	Name of Registrar & Authorized Signature Date :		
Cert. Issued by :	Name of Registrar & Authorized Signature	Date :	
eIPO Service Provider ID :	4		

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Appendix C – eIPO Applications Submission Form

Name of eIPO Service Provider:		
eIPO Service Provider ID :		
File ID	Data File P	rovided*
	By Transmission	On CD-ROM
Submitted by :Autho	Date:	
Name of Contact Person :		
Tel. No.:		
Fax No. :		

^{*} Please tick where appropriate

Appendix D – Summary of eIPO Applications

1 2 3 4 5 6 7 8 9 10 11 12 13 1234567890123456

EIPO SERVICE PROVIDER ID : 99999 STOCK CODE : 99999 FILE ID : XXX

	NO. OF AP	PLICATIONS	<<<<< NO. OF	SHARES >>>>>>>	<<<<<< < APPLICATION	ON MONIES >>>>>>>>>
DENOMINATION	WHITE	YELLOW	WHITE	YELLOW	WHITE	YELLOW
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999,999.99	999,999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999.99
999,999,999	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999.99
TOTAL:	999,999	999,999	9,999,999,999,999	9,999,999,999,999	999,999,999,999.99	999,999,999,999.99
	======	======	=======================================		=======================================	

*** END OF REPORT ***

Appendix E – List of Applicants (Multiple Cheques)

1 2 3 4 5 6 7 8 9 10 11 12 13 1234567890123456

EIPO SERVICE PROVIDER ID : 99999 STOCK CODE : 99999 FILE ID : XXX

APPLICATION			NO. OF SHARES	APPLICATION
NUMBER	APPLICANT NAME/COMPANY NAME	JOINT APPLICANT NAMES	APPLIED	MONEY
99999999	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	1. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	999,999,999	999,999,999.99
	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	2. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX		
		3. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX		
99999999	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	1. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	999,999,999	999,999,999.99
	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	2. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX		
99999999	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	1. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	999,999,999	999,999,999.99
	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX			
99999999	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX		999,999,999	999,999,999.99
	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX			
99999999	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX		999,999,999	999,999,999.99
	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX			
99999999	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	1. XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	999,999,999	999,999,999.99
	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX			

TOTAL NUMBER OF APPLICATIONS : 999,999

TOTAL NUMBER OF SHARES APPLIED : 9,999,999,999,999

TOTAL APPLICATION MONIES : 999,999,999,999,999.999

*** END OF REPORT ***

Appendix F – Valid Application Levels and Monies

No. of Shares Applied	Amount Payable
2,000	5,676.65
4,000	11,353.30
6,000	17,029.95
8,000	22,706.59
10,000	28,383.25
20,000	56,766.50
30,000	85,149.75
40,000	113,532.99
50,000	141,916.25
60,000	170,299.49
70,000	198,682.74
80,000	227,065.98
90,000	255,449.24
100,000	283,832.48
150,000	425,748.73
200,000	567,664.96
250,000	709,581.21
300,000	851,497.44
350,000	993,413.69
400,000	1,135,329.92
450,000	1,277,246.17
500,000	1,419,162.40
Thereafter in multiples of 100,0	00 shares