



- 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](mailto: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](mailto: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.

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## **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.

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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. : \_\_\_\_\_

(For Use by the Federation of Share Registrars Limited only)

Tested OK by : \_\_\_\_\_ Date : \_\_\_\_\_  
Name of Registrar & Authorized Signature

Tested OK by : \_\_\_\_\_ Date : \_\_\_\_\_  
Name of Registrar & Authorized Signature

Tested OK by : \_\_\_\_\_ Date : \_\_\_\_\_  
Name of Registrar & Authorized Signature

Tested OK by : \_\_\_\_\_ Date : \_\_\_\_\_  
Name of Registrar & Authorized Signature

Tested OK by : \_\_\_\_\_ Date : \_\_\_\_\_  
Name of Registrar & Authorized Signature

Cert. Issued by : \_\_\_\_\_ Date : \_\_\_\_\_  
Name of Registrar & Authorized Signature

eIPO Service Provider ID : 

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## Appendix C – eIPO Applications Submission Form

Name of eIPO Service Provider : \_\_\_\_\_  
 \_\_\_\_\_

eIPO Service Provider ID :

Stock Code :

**File ID**

**Data File Provided\***

By Transmission

On CD-ROM

Submitted by : \_\_\_\_\_ Date: \_\_\_\_\_

Authorised Signature

Name of Contact Person : \_\_\_\_\_

Tel. No. : \_\_\_\_\_

Fax No. : \_\_\_\_\_

*\* Please tick where appropriate*





## 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 100,000 shares	