

Updating history

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



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Data structure

Securities Attribute Daily Files (to-be-listed) is available before trading commences to provide latest static attributes on to-be-listed securities for 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 Attribute Daily File.

The data provided in Securities Attribute Daily Files (to-be-listed) is presented in 11 files:

- 1) Securities attribute file equity;
- 2) Securities attribute file warrants:
- 3) Securities attribute file debt securities:
- 4) Securities attribute file exchange traded funds ("ETF"):
- 5) Securities attribute file leveraged and inverse products ("L&I Product");
- 6) Securities attribute file real estate investment trusts ("REIT");
- 7) Securities attribute file other unit trusts/mutual funds;
- 8) Securities attribute file equity linked instruments ("ELI");
- 9) Securities attribute file callable bull/bear contracts ("CBBC");
- 10) Securities attribute 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 to-belisted stocks as at the start of the day yyyymmdd. It covers ordinary and preference shares as well as trading-only NASDAQ stocks.	
warrant_yyyymmdd	Basic static information on to-be-listed warrants as at the start of the day yyyymmdd. It covers equity warrants and derivative warrants.	
debt_yyyymmdd	Basic static information on to-be-listed debt securities as at the start of the day yyyymmdd.	
etf_yyyymmdd	Basic static information on to-be-listed exchange traded funds (ETF) as at the start of the day yyyymmdd.	
lip_yyyymmdd	Basic static information on to-be-listed leverage and inverse products (LIP) as at the start of the day yyyymmdd.	



reit_yyyymmdd	Basic static information on to-be-listed real estate investment trusts (REIT) as at the start of the day yyyymmdd.		
other_trust_yyyymmdd Basic static information on to-be-listed unit trusts funds other than exchange traded funds, levera inverse products, and real estate investment trus the start of the day yyyymmdd.			
eli_yyyymmdd	Basic static information on to-be-listed equity linked instruments (ELI) as at the start of the day yyyymmdd.		
cbbc_yyyymmdd	Basic static information on to-be-listed callable bull/bear contracts (CBBC) as at the start of the day yyyymmdd.		
Chinese_yyyymmdd	Chinese name on all to-be-listed stocks as at the start of the day yyyymmdd		
registrar_yyyymmdd	Contact information on share and trust registrars		



1. Securities attribute file - equity

		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 7 bytes	Board lot
11	LIST_DATE	Character 10 bytes	Listing date. Format is YYYY/MM/DD
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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^{**} 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	REGISTRAR	Character	Code of the registrar.
		4 bytes	Refer to the registrar file for details
19	FILLER	Numeric	Filter
		1 byte	
20	AUTH SH	Numeric	Number of authorised shares
		15 bytes	This data item is not applicable to
			NASDAQ stocks and H Shares
21	ISS_SH	Numeric	Number of issued shares based on the
		15 bytes	listing documents submitted by Issuer
22	ISS_SH_DATE	Character	Number of issued shares as at date
		10 bytes	Format is YYYY/MM/DD
23	MARKET_CAP *	Numeric	Market capitalisation in trading currency as
		15 bytes	at the start of the day
24	EPS *	Numeric	Earnings per shares.
		15 bytes	EPS = 0 if N/A or negative earnings
		S9(5).9(8)	Value is accurate to 4 decimal places
25	EPS_CUR *	Character	Currency of EPS
		3 bytes	
26	EPS_IND *	Character	'A' if the EPS is an adjusted value
		1 byte	·
27	PE_RATIO *	Numeric	Price earnings ratio as at the start of the
		7 bytes	day.
		9(4).9(2)	
28	DPS *	Numeric	Dividend per shares
		14 bytes	Value is accurate to 4 decimal places
		9(5).9(8)	
29	DPS_CUR *	Character	Currency of DPS
		3 bytes	
30	DPS_IND *	Character	'A' if the DPS is an adjusted value
		1 byte	
31	YIELD *	Numeric	Dividend yield as at the start of the day
		7 bytes	
		9(4).9(2)	
32	PAR	Numeric	Par value
		14 bytes	Value is accurate to 5 decimal places
		9(5).9(8)	
33	PAR_CUR	Character	Currency of PAR
		3 bytes	
34	BAL_SH_DATE *	Character	Balance sheet date
		10 bytes	Format is YYYY/MM/DD
35	PROFIT *	Numeric	Net profit
		15 bytes	



		Data type/ Maximum	
Item no.	Field name	length	Description
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

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

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2. Securities attribute file - warrants

		Data type/	
Item no.	Field name	Maximum length	Description
1	STKCODE	Character	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	DD - day Full name of stock
4	FULL_NAIVIE	60 bytes	Full flame 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
	TD 4 D 01 ID		See table in Appendix 2 for valid values
7	TRAD_CUR	Character	Trading currency of stock
8	MARKET	3 bytes Character	Market code. Possible values are :
0	IVIANNET	1 byte	'M' – Main Board
		1 byte	'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
			Blank if listing date is not available
12	FIRST_DATE	Character	First trading date
10	LACT DATE	10 bytes	Format is YYYY/MM/DD
13	LAST_DATE	Character 10 bytes	Last trading date Format is YYYY/MM/DD
14	DELIST_DATE	Character	Delisting date
' -	DELIGI_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/ 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	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	
	DIAL CUD	9(13).9(2)	O (DD LOT NOW
23	BLN_CUR	Character	Currency of BD_LOT_NOM
0.4	ANT IOO	3 bytes	America Constant
24	AMT_ISS	Numeric	Amount issued
		19 bytes	
25	AMT ICC LIMIT	9(15).9(3) Character	Amount issued unit indicator
25	AMT_ISS_UNIT	1 byte	Amount issued unit indicator 'U' – in units
		i byte	'\$' – in dollars
26	AMT_ISS_CUR	Character	Currency of AMT_ISS in dollars
20	AIVIT_ISS_CON	3 bytes	Odition of Airi1_100 iii dollars
27	ISUB_PR	Numeric	Initial subscription price
21	1000_1 10	16 bytes	initial subscription price
		9(7).9(8)	
28	ISUB_PR_CUR	Character	Currency of ISUB_PR
20	1005_11_001\	3 bytes	Canonity of 100b_1 R
29	AMT_OS	Numeric	Amount outstanding (Indicate the number of
	/	19 bytes	Warrant outstanding in the market)
		9(15).9(3)	The state of the s
30	AMT_OS_UNIT	Character	Amount outstanding unit indicator
	/00_0(4)	1 byte	'U' – in units
		- 2,10	'\$' – in dollars
31	AMT_OS_CUR	Character	Currency of AMT_OS in dollars
	55_551	3 bytes	
	L		



		Data type/ Maximum	
Item no.	Field name	length	Description
32	AMT_OS_DATE	Character	Amount outstanding
00	OLID DD	10 bytes	as at date Format is YYYY/MM/DD
33	SUB_PR	Numeric	Subscription price or strike level
		16 bytes	
24	CLID DD CLID	9(7).9(8)	Company of sub-scription ratios
34	SUB_PR_CUR	Character 3 bytes	Currency of subscription price
35	SUB_PR_CF	Numeric	Capped/Floor subscription price/strike level
		16 bytes	
	0115 5 5 7 10	9(7).9(8)	
36	SUB_RATIO	Numeric	Subscription ratio
		16 bytes	
27	CLID DDLI	9(7).9(8) Numeric	Cub covintion viable new unit
37	SUB_RPU	16 bytes	Subscription rights per unit
		9(7).9(8)	
38	SUB_FROM	Character	Subscription period – from (inclusive)
30	SOD_I INOM	10 bytes	Format is YYYY/MM/DD
39	SUB_TO	Character	Subscription period – to (inclusive)
	000_10	10 bytes	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.
			andonying.
42	UNDER_TYPE	Character	To indicate the type of underlying. Possible
		2 bytes	values are :
			'03' – Equity
			'04' – Index
			'05' – Currency
			'06' – Commodity
		-	'99' – Others
43	UNDER_NAME	Character	Description of the corresponding
		100 bytes	underlying.
44	CAS_IND *	Character	To indicate if Closing Auction Session
77	טאט_וואט	1 byte	(CAS) is applicable to the security
		l Dylc	'Y' – CAS applicable
			'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



Item no.	Field name	Data type/ Maximum length	Description
46	ISTR_PR_LOWER	Numeric 16 bytes 9(7).9(8)	Initial Lower Strike Price / Level
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

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



3. Securities attribute 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

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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 'N' – Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
17	303F_DATE	10 bytes	SUSP IND = Y
		10 bytes	Format is YYYY/MM/DD
18	BD_LOT_NOM *	Numeric	Board lot nominal
		16 bytes	
		9(13).9(2)	
19	BLN_CUR	Character	Currency of BD_LOT_NOM
		3 bytes	
20	PR_AMT *	Numeric	Principal amount
24	DD AMT OUD	15 bytes Character	Common out of DD AMT
21	PR_AMT_CUR	3 bytes	Currency of PR_AMT
22	AMT_RD_DATE *	Character	Date of amount raised
22	AWII_IND_DATE	10 bytes	Format is YYYY/MM/DD
23	ISS_PR *	Numeric	Issue price in %
		16 bytes	
		9(7).9(8)	Weighted average of issue price in % if
			have further issues with different issue price
24	AMT_OS *	Numeric	Amount outstanding (Indicate the number of
05	AAAT OO OUD	15 bytes	debt securities outstanding in the market)
25	AMT_OS_CUR	Character	Currency of AMT_OS
26	MATURITY *	3 bytes Character	Maturity date
20	IVIATORITI	10 bytes	Format is YYYY/MM/DD
27	COUPON *	Numeric	Interest rate / coupon rate in %.
		16 bytes	linerost rate , coaper rate in , , s.
		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
00	VOM IND *	Ob and t	'N' – CAS not applicable
29	VCM_IND *	Character	To indicate if Volatility Control Mechanism
		1 byte	(VCM) is applicable to the security 'Y' – VCM applicable
			'N' – VCM not applicable
30	ISSUER_NAME	Character	Full name of Issuer
	.5552. (_10 (0)2	120 bytes	
31	INVESTOR_TYP	Character	To indicate the type of debt securities.
	E *	2 bytes	Possible values are :
			'01' – Public
			'02' – Professional

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



4. Securities attribute file - exchange traded funds ("ETF")

		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
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/	
ltom no	Field name	Maximum	Description
Item no.	Field name SUSP IND *	length Character	Description To indicate if even and of for trading at the
16	SUSP_IND	1 byte	To indicate if suspended for trading at the start of the day
		1 byte	'Y' – Suspended
			'N' – Not suspended
17	SUSP_DATE	Character	The start date of the suspension if
' '	SUSP_DATE	10 bytes	SUSP IND = 'Y'
		10 bytes	Format is YYYY/MM/DD
18	FUND_MGR	Character	Fund manager
10	I DIND_INIGIT	120 bytes	i uliu managei
19	REGISTRAR	Character	Code of the trust registrar
13	INCOIOTIVII	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 is accurate to a 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
		15 bytes	ETF 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	
		9(7).9(8)	
28	YIELD	Numeric	Yield
		16 bytes	
	0.40 1115 #	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
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
31	AOOL I_OLAGO	4 bytes	values are :
		T Dyles	'0001' – Equity
			'0002' – Equity
			'0003' – Money Market
			'0004' – Commodity
			'0005' – Multi-asset
		_1	1 0000



Item no.	Field name	Data type/ Maximum 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.

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



5. Securities attribute file - leveraged and inverse products ("L&I Product")

		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 type/	
Item no.	Field name	Maximum length	Description
16	SUSP IND *	Character	To indicate if suspended for trading at the
10	303F_IND	1 byte	start of the day
		1 byte	'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
		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
00	ANAT OO	10 bytes	Format is YYYY/MM/DD
23	AMT_OS	Numeric	Amount outstanding (Indicate the number of
24	AMT OC LINIT	15 bytes Numeric	L&IP outstanding in the market)
24	AMT_OS_UNIT		Amount outstanding unit indicator 'U' – AMT_OS is in units
		1 byte	'\$' – AMT_OS is in dollars
25	AMT_OS_CUR	Character	Currency of AMT_OS
20	71111_00_0011	3 bytes	currency of Auvit _oc
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	
		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
	\ (O\4 \1\1\D #		'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
31	ASSET_CLASS	Character	'N' – VCM not applicable To indicate the type of asset class. Possible
31	ASSET_CEASS	4 bytes	values are :
		T Dyles	'0001' – Equity
			'0002' – Equity
			'0003' – Money Market
			'0004' – Commodity
			'0005' – Multi-asset



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.

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



6. Securities attribute 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 1 byte	To indicate if suspended for trading at the start of the day 'Y' – Suspended 'N' – Not suspended
17	SUSP_DATE	Character 10 bytes	The start date of the suspension if SUSP_IND = Y Format is YYYY/MM/DD
18	FUND_MGR	Character 120 bytes	Fund manager
19	REGISTRAR	Character 4 bytes	Code of the trust registrar Refer to the registrar file for details
20	ORIG_PRICE	Numeric 13 bytes 9(4).9(8)	Original offer price 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 Format is YYYY/MM/DD
23	AMT_OS	Numeric 15 bytes	Amount outstanding (Indicate the number of REIT outstanding in the market)
24	AMT_OS_UNIT	Numeric 1 byte	Amount outstanding unit indicator 'U' – AMT_OS is in units '\$' – 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 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 'Y' – CAS applicable 'N' – CAS not applicable
30	VCM_IND *	Character 1 byte	To indicate if 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



7. Securities attribute 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 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
17	OOOI _DITTE	10 bytes	SUSP_IND = 'Y'
		10 57100	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
04	ODIC DD CLID	9(4).9(8)	Current out of ODIC DDICE
21	ORIG_PR_CUR	Character 3 bytes	Currency of ORIG_PRICE
22	LAUNCH_DATE	Character	Date launched
	L/(O/(O/)_D/(12	10 bytes	Format is YYYY/MM/DD
23	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		15 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
25	AMT OC CUD	Character	'\$' – AMT_OS is in dollars
25	AMT_OS_CUR	Character 3 bytes	Currency of AMT_OS
26	AMT_OS_DATE	Character	Amount outstanding as at date
	700_5/2	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	
20	CAC IND *	9(7).9(8)	To indicate if Closing Assation Consider
29	CAS_IND *	Character 1 byte	To indicate if Closing Auction Session (CAS) is applicable to the security
		i byte	'Y' – CAS applicable
			'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



Item no.	Field name	Data type/ Maximum length	Description
31	ASSET_CLASS	Character 4 bytes	To indicate the type of asset class. Possible values are: '0001' – Equity '0002' – Fixed Income '0003' – Money Market '0004' – Commodity '0005' – Multi-asset

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



8. Securities attribute 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. 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
	000112	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 ELI
		1 byte	Possible values are :
			'Y' – basket ELI
			'N' – not basket ELI
19	ELI_TYPE	Character	ELI type. Possible values are:
		2 bytes	'01' – Bull
			'02' - Bear
			'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	
		9(7).9(8)	
25	PAR_CUR	Character	Currency of PAR
		3 bytes	
26	PAR_BD_LOT	Numeric	Par value per board lot for ELI
		16 bytes	
07	IOTOK DD I	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
00	IOTOK DD II	9(7).9(8)	Disable for health and Elli
28	ISTRK_PR_U	Numeric	Blank for bull/bear ELI
		16 bytes	Initial upper strike price for range ELI
20	CTDK DD I	9(7).9(8)	Ctriles price for healt/bear Eld
29	STRK_PR_L	Numeric	Strike price for bull/bear ELI
		16 bytes	Lower strike price for range ELI
30	STRK_PR_U	9(7).9(8) Numeric	Blank for bull/bear ELI
30	SIRK_PK_U		
		16 bytes	Upper strike price for range ELI
31	STDK DD CIID	9(7).9(8)	Currency of ISTEK DD 1 STEK DD 1
31	STRK_PR_CUR	Character	Currency of ISTRK_PR_L, STRK_PR_L,
22	AMT OS	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/ Maximum	
Item no.	Field name	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

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



9. Securities attribute file - callable bull/bear contracts ("CBBC")

		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 type/ Maximum	
Item no.	Field name	length	Description
16	SUSP IND *	Character	To indicate if suspended for trading at the
.0	000112	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	
0.5	100 DD 011D	9(7).9(8)	0 (100 PP
25	ISS_PR_CUR	Character	Currency of ISS_PR
00	IOALL DD	3 bytes	Latter and the same
26	ICALL_PR	Numeric	Initial callable price
		16 bytes	
27	CALL DD	9(7).9(8)	Callable price
27	CALL_PR	Numeric	Callable price
		16 bytes 9(7).9(8)	
28	CALL_PR_CUR	Character	Currency of ICALL_PR and CALL_PR
20	CALL_FR_COR	3 bytes	Currency of ICALL_FR and CALL_FR
29	ISTRK_PR	Numeric	Initial strike price
23	IOTAIN_FIN	16 bytes	initial strike price
		9(7).9(8)	
30	STRK_PR	Numeric	Strike price
		16 bytes	State prior
		9(7).9(8)	
31	STRK_PR_CUR	Character	Currency of ISTRK_PR and STRK_PR
	3111 11_0011	3 bytes	land of the land o
32	AMT_OS	Numeric	Amount outstanding (Indicate the number of
		15 bytes	CBBC outstanding in the market)
		1	



		Data type/	
Item no.	Field name	Maximum length	Description
33	AMT_OS_UNIT	Character	Amount outstanding unit indicator
	700_01	1 byte	'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	Amount outstanding
		10 bytes	as at date Format is YYYY/MM/DD
36	PAY DATE	Character	Payment date
30	TAI_DAIL	10 bytes	Format is YYYY/MM/DD
37	EXPIRY_DATE	Character	Expiry date
		10 bytes	Format is YYYY/MM/DD
38	CON_RATIO	Numeric	Conversion ratio
		16 bytes 9(7).9(8)	Value is accurate to 3 decimal places For index CBBC, conversion ratio refers to
		9(7).9(0)	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
			to UNDER_TYPE for type of underlying.
40	UNDER_TYPE	Character	To indicate the type of underlying. Possible
		2 bytes	values are :
			'03' – Equity '04' – Index
			'05' - Currency
			'06' – Commodity
			'99' - Others
41	UNDER_NAME	Character	Description of the corresponding
		100 bytes	underlying.
42	CAS_IND *	Character	To indicate if Closing Auction Session
	_	1 byte	(CAS) is applicable to the security
			'Y' - CAS applicable
12	\/CM	Character	'N' – CAS not applicable
43	VCM_IND *	Character 1 byte	To indicate if Volatility Control Mechanism (VCM) is applicable to the security
		1 Dylc	'Y' – VCM applicable
			'N' – VCM not applicable
44	ISSUER_NAME	Character 120 bytes	Full name of Issuer
45	CBBC_CAT	Character	To indicate if Residual value is applicable to
		1 byte	the CBBC
			'R' – No residual value
			'N' – With residual value



Item no.	Field name	Data type/ Maximum length	Description
46	EXER_STYLE	Character 1 byte	CBBC Exercise style. Possible values are: 'A' – American 'E' – European

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



10. Securities attribute file - 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	